



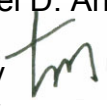
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AUDITOR-CONTROLLER

**COUNTY OF LOS ANGELES
DEPARTMENT OF AUDITOR-CONTROLLER**

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July 12, 2004

TO: Supervisor Don Knabe, Chairman
Supervisor Gloria Molina
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Michael D. Antonovich

FROM: J. Tyler McCauley 
Auditor-Controller

SUBJECT: **DEPARTMENT OF COMMUNITY AND SENIOR SERVICES**

Attached is blueCONSULTING's limited management audit report on the Department of Community and Senior Services (DCSS). Because of Board concerns over the management and leadership of DCSS, we hired blueCONSULTING (consultant) to provide an audit of DCSS' mission and organization structure; development and implementation of DCSS' strategic plan and other planning efforts; the Department's performance of key management functions such as human resources and other management and administrative practices; and fiscal and operational policies and procedures. The consultant's audit did not include an evaluation of any programs DCSS administers.

In addition to the management audit, Auditor-Controller staff investigated specific allegations that DCSS has significant unreported program liabilities and has overstated its billings to the Department of Public Social Services.

Summary of Findings

Management Audit Findings

blueCONSULTING based its findings on extensive interviews that included all Board of Supervisors offices, selected County department managers, all DCSS managers and 40 DCSS employees who requested the opportunity to speak with the consulting firm. The consultants also analyzed other relevant documentation and various external audits and studies performed by the Auditor-Controller, the Los Angeles County Grand Jury, the California Department of Aging, and other similar reports.

blueCONSULTING concluded that although the Department has employees that are very committed to their clients, DCSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to long-term lack of leadership, lack of accountability, poor program management, and problems with program monitoring and funding. The consultants further concluded that given the ingrained culture within most areas of the Department, that only a major restructuring and refined Department focus that is driven by strong leadership will correct the situation.

The consultant further concluded that the management weaknesses have been exacerbated by organizational growth that has brought in functions and programs that lack synergy and over which management has not been able to develop and implement basic management controls. Additionally, based on benchmarking of comparable social service agencies, DCSS is unique in that it combines services for seniors with workforce development services for the general community. This broad, all-inclusive mission has also had a negative impact on the Department's ability to focus on high quality management and delivery of services.

The consultant recommends that the Board of Supervisors transfer to other County departments all programs and services not directly related to meeting the needs of the County's aging population, with the possible exception of domestic violence programs. The consultant believes that the Department needs to focus on this single aspect of its current mission – meeting the needs of vulnerable adults and seniors. The consultant observed that this constituency will only grow in number and need and that a continued separate County department is justified.

blueCONSULTING made numerous recommendations to encourage a "return to basics" as a management philosophy, focusing on a smaller organization. The "return to basics" concept contemplates the Department embarking on an integrated planning process to develop and reinforce a culture of responsibility and accountability in order to drive the required organizational cultural change. The consultant also recommends an emphasis on values such as respect for individual professionalism, effective communication, supervision through oversight and verification, and accountability for grant or taxpayer money. The consultant's overall conclusions and recommendations are listed beginning on page 78 of their report.

Auditor-Controller Findings

The Auditor-Controller investigation findings generally related to employees that are no longer in County service, including the previous Department Director and program managers. We will report under separate cover our review of the allegations regarding the Community Action Board, and a couple of other investigations of alleged improper activities of two staff. The two allegations we have completed investigating were significant and are discussed below.

We investigated the allegation that there were large potential program liabilities that DCSS did not report to the Board, CAO, or Auditor-Controller in accordance with Board policy. We confirmed this allegation was true. In January 2003 the California

Department of Aging (CDA) provided DCSS with audit findings for several years of Area Agency Aging (AAA) grant claims. The findings indicated CDA had questioned millions of dollars of DCSS claims for AAA monies due to lack of documentation that DCSS contract providers provided the contracted services. When DCSS did not correct the deficiencies noted, CDA notified DCSS of potential liabilities of approximately \$57 million for Fiscal Years 1997-98 through 2001-02. DCSS hired two CPAs to work with DCSS contractors to obtain the documentation to support the costs related to the questioned claims with the goal of reducing the liabilities.

Upon being notified of the potential liabilities, we met with CDA auditors and arrived at a methodology CDA found acceptable in satisfying their questioned costs. Auditor-Controller staff provided oversight and participated in the effort to obtain the required documentation. The efforts to date have resulted in obtaining acceptable documentation to lower the liability below \$300,000 with the possibility of reducing this number further. CDA will be providing written confirmation in the near future that should fully resolve the first two fiscal years and \$10 million of liabilities. We will soon present data to the CDA that should lower the liability to less than the \$300,000 noted above.

The second allegation we confirmed was that DCSS over billed administrative costs to the GROW program they administered for DPSS. DPSS will have to reduce its claim to the State by approximately \$1 million to resolve the over billings. Subsequent allegations indicated this practice occurred in other programs. We are continuing our investigation into this matter. The causes of both the liability problem and over billing are supported by the consultant's finding that the program managers and fiscal staff do not work together to ensure proper grant management.

Proposed Short-Term Action Plan

In view of the consultant's findings and the recommended actions, we believe there is a need for a number of County departments to be directly involved in stabilizing and overseeing DCSS' current operations and providing expertise to assist the Department in resolving immediate problems and in implementing the consultant's recommended corrective actions or alternative actions approved by the Board. We recommend the Board establish an oversight and implementation team of managers, led by the Chief Administrative Office, and including DCSS, the Auditor-Controller, Public Social Services, County Counsel, Human Resources, and the Chief Information Office. In the interim, the Auditor-Controller will continue assisting DCSS in resolving its immediate problems and in establishing a sound fiscal and administrative infrastructure.

Recent Events

The recently issued 2003-04 Los Angeles County Grand Jury report contained a study on the County's management of its Domestic Violence programs. A portion of the study included findings and recommendations for improving DCSS' Domestic Violence Unit. In addition, DCSS began a Department-wide sexual harassment training program.

Department's Response

The Department's response is attached. It recognizes the various weaknesses within the Department and the urgent need for change. It further notes that the Department has begun to take steps to address many of the cited weaknesses and will work to implement corrective actions.

If you or your staff has questions regarding this report, please call me or have your staff contact DeWitt Roberts at (626) 293-1101.

JTM:DR

Attachments

c: David E. Janssen, Chief Administrative Officer
Cynthia Banks, Chief Deputy, DCSS
Bryce Yokomizo, Director, DPSS
Michael J. Henry, Director, DHR
Jon Fullinwider, Chief Information Officer
Raymond G. Fortner, Interim County Counsel
Audit Committee
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CYNTHIA D. BANKS
Chief Deputy Director

COMMUNITY AND SENIOR SERVICES OF LOS ANGELES COUNTY

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"To Enrich Lives Through Effective And Caring Service"

BOARD OF SUPERVISORS

GLORIA MOLINA
YVONNE BRATHWAITE BURKE
ZEV YAROSLAVSKY
DON KNABE
MICHAEL D. ANTONOVICH

July 9, 2004

To: Supervisor Don Knabe, Chairman
Supervisor Gloria Molina
Supervisor Yvonne B. Burke
Supervisor Zev Yaroslavsky
Supervisor Michael D. Antonovich

From: Cynthia D. Banks (Original Signed)
Chief Deputy Director

Subject: **DEPARTMENT OF COMMUNITY AND SENIOR SERVICES
MANAGEMENT AUDIT REPORT**

The management audit report prepared by blueCONSULTING, Inc., identifies various weaknesses within the Department of Community and Senior Services (CSS). It also acknowledges the urgent need for change.

CSS programs provide vital services to county residents. It is imperative that the administration of these programs be strengthened to allow for more effective service delivery and improved accountability.

The Department has begun to take steps to address many of the cited weaknesses and will work with your Board to implement corrective actions that will enable the county to better serve its residents.

I am available to discuss this matter at your convenience or you may contact Pat Senette-Holt at (213) 738-2065.

**Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services**

Final Report

submitted July 2, 2004 to

**J. Tyler McCauley
Auditor-Controller
County of Los Angeles**

Office of the Auditor-Controller

Management Audit of the

Department of Community & Senior Services

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- C 2003-2005 Strategic Plan
- D Councils and Commissions
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- F Audit Reports
- G Training

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Office of the Auditor-Controller Management Audit of the Department of Community & Senior Services Final Report

I. Executive Summary

A. Introduction and Background

The Los Angeles County Department of Community and Senior Services (CSS) has suffered from a number of high visibility problems in the last several years. Several top managers have resigned unexpectedly after having been questioned about fraud or lack of management oversight in some of the programs offered by CSS and after strong criticism from members of the Board of Supervisors. Additionally, several external audits have criticized the Department for a variety of issues ranging from fiscal control to management oversight, and employees have been very vocal about problems within the Department to the Board of Supervisors and the media.

The Auditor-Controller hired blueCONSULTING, INC. (blueCONSULTING) to conduct a limited scope management audit of the Department to assess its management, leadership, strategic planning process and administrative processes. A further desire by the Auditor-Controller is to determine whether the existing programs offered by CSS should continue to be offered or whether there may be opportunities to enhance service delivery by moving some programs to other County departments. This report provides our evaluation of CSS. A listing of all findings and the recommendations that address them are presented in Exhibit 1 at the end of this chapter.

B. Project Scope

The scope of this management audit emphasizes the internal structure of the Department: its mission and organizational structure; development and implementation of the Strategic Plan and other planning efforts; the performance of key functions; and the efficiency and effectiveness of fiscal and operational policies and procedures. *The evaluation of programs and services delivered by the community-based organizations (CBOs) with which CSS contracts is outside the project scope.* For example, blueCONSULTING has not interviewed CBO managers, observed CBO operations, queried County customers (end-users) or otherwise evaluated or appraised the quality or effectiveness of the services received by eligible County residents through the myriad programs provided by more than 250 CBOs.

blueCONSULTING also conducted a limited benchmarking study of other regional social service agencies that are responsible for functions comparable to those performed by CSS.

C. Highlights of Major Findings

The Department is very fortunate to have many (in fact, most) employees who are passionate about the work they perform and the services they render to some of the more vulnerable

Management Audit of the Department of Community & Senior Services

residents of the County. These employees work hard and are committed to improving the lives of those they serve, including the elderly, refugees, potentially dislocated workers, and victims of domestic abuse. In spite of this, the Department is dysfunctional, not only because of the lack of synergy among its programs and services, but because the Department's culture, management, and leadership do not support a cohesive, professional, effective, or productive environment. In many cases, CSS has not provided the appropriate level of management support and oversight that employees deserve. Management's job should be to provide a work environment that is supportive of employees' needs, fair and equitable, and protective of employees. Leadership, direction, and oversight, as well as reward and discipline are the cornerstones of a well-run organization. Management (as a whole, not necessarily all individual managers) has not performed these functions effectively. This has led to an organizational culture based on inconsistent implementation of work rules, perceived favoritism in promotions, lack of accountability for program effectiveness and results, and lack of communication between and among the various branches and functions. Management weaknesses have been exacerbated by organizational growth that has brought in functions and programs that lack synergy and over which management has not been able to develop and implement basic management controls.

Furthermore, based on the benchmarking of comparable social service agencies, CSS is unique in that it combines services for seniors with workforce development services for the general community. This broad, all-inclusive mission has also had a negative impact on the Department's ability to focus on high quality management and delivery of services.

The problems facing the Department are not because employees and managers have not tried to do the right thing. On the contrary. Many have tried to do the right thing only to be rejected by management or not supported by management. This has led to unqualified personnel who are trying to improve the organization but, due to lack of background and training, have done so in a disruptive and unproductive manner. These are leadership and management problems... not employee problems. Therefore, the solution to these problems is through effective leadership and increased accountability.

D. Summary of Recommendations

Our audit has revealed and confirmed that CSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to lack of leadership, lack of accountability, poor program management, and problems with program monitoring and funding. Given the ingrained culture within most areas of the Department, it is our conclusion that only a major restructuring and refined focus driven by strong leadership will correct the situation. blueCONSULTING recommends that the Department focus on a single aspect of its current mission – meeting the needs of vulnerable adults and seniors. We believe that this constituency will only grow in number and needs and that a continued separate County Department is justified. Numerous recommendations are made in this report that will encourage a “return to basics” as a management philosophy focusing on a smaller organization. It is our hope that once the basics are in place, the Department could grow to provide additional services currently offered to

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seniors in other County departments, but that the growth will be controlled and that new programs or services will have synergy with the overall mission of serving seniors.

Exhibit 1 provides a listing of all findings and the recommendation that address the findings. There is not a one-to-one correlation between findings and recommendations because the recommendations are more general in nature than the findings. (Please note: The page numbers of each finding and recommendation are in parentheses.)

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Related Recommendation(s)
Mission	
Finding #1: The Department's mission does not reflect a strategic determination of programs and services. (p43) ¹	Recommendation #1: The Board of Supervisors should consider divesting itself of all programs and services not directly related to meeting the needs of the County's aging population. (p78)
Finding #2: The core mission of the Department has grown over the last ten years, is very broad, and contributes to a loss of focus of the Department. There are numerous opportunities for existing functions to be performed in other County Departments, but whether or not this should occur is dependent on the desired mission of the Department. (p44)	Recommendation #2: Implement a "return to basics" planning process to redefine the Department's mission and develop a culture of responsibility and accountability. (p79)
Culture, Management, and Leadership	
Finding #3: There is a lack of appropriate leadership and accountability at all levels of the organization: (p51)	Recommendation #3: Establish a Code of Professional Work Conduct. (p80)
Finding #4: The CSS culture and lack of management action leads to a work environment that is not conducive to highly productive employees. (p51)	Recommendation #4: Develop and implement basic decision-making and approval protocols to ensure appropriate accountability and delegation of responsibility. (p80)
Finding #5: Organizational silos result in little synergy, communication, or teamwork between Department branches and functions. (p51)	Recommendation #5: Standardize preparation of Board letters to improve quality, consistency, and timeliness. (p80)
Finding #6: Some CSS managers lack a fundamental understanding of budgets, fiduciary responsibility for grant funds, and grants administration. (p52)	Recommendation #6: Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors. (p80)
Finding #7: Lack of comprehensive program management is institutionalized at CSS. (p52)	

¹ Number in parentheses refers to the page number in this document of each finding or recommendation.

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Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Related Recommendation(s)
Culture, Management, and Leadership continued	
<p>Finding #8: Staff and management are demoralized by recent management and program problems that are often not fully resolved. (p53)</p> <p>Finding #9: Lack of effective contract monitoring is linked to lack of management and leadership, rather than to a shortcoming in the organizational structure. (p53)</p> <p>Finding #10: Program effectiveness and quality are not Department priorities. (p54)</p> <p>Finding #11: Personnel problems are ignored or tolerated. (p54)</p> <p>Finding #12: The process of preparing Board letters is not understood or followed in the Department. (p55)</p>	
Strategic Planning	
<p>Finding #13: The 2003-2005 Strategic Plan is motivational and visionary versus concrete and directive, and lacks clear accountability for plan implementation. (p55)</p> <p>Finding #14: Planning is used to “buy time” to resolve difficult situations. (p56)</p> <p>Finding #15: The programs and services listed in the Strategic Plan differ from those in the approved budget and other documents reviewed during this audit. (p56)</p> <p>Finding #16: Administrative processes do not link strategies to operations. (p56)</p>	(See Recommendation #2 above)
Organizational Structure	
<p>Finding #17: The Department lacks an accurate organizational chart. (p57)</p> <p>Finding #18: The current division of functions by branch does not effectively reflect programs, services, or target client populations. (p59)</p>	Recommendation #7: Restructure the Department to have branches for administrative services, contract management, and senior services. (p81)

Management Audit of the Department of Community & Senior Services

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Management and Staff Qualifications	
<p>Finding #19: Lack of comprehensive training and inappropriate assignments have resulted in unqualified personnel in some positions. (p62)</p> <p>Finding #20: Managers and supervisors throughout the Department lack such “strong manager” attributes as leadership, effective communication and interpersonal skills, appropriate delegation, and accountability. (p62)</p>	(See Culture, Management and Leadership recommendations, above, Human Resources recommendations, below.)
Communication	
<p>Finding #21: General staff meetings are not routinely conducted. (p63)</p> <p>Finding #22: Many do not attend mandatory meetings. (p64)</p> <p>Finding #23: Lack of email for many staff at remote locations thwarts use of the Department intranet for Department-wide communication. (p64)</p> <p>Finding #24: There are numerous commissions and committees that require substantial time and energy from CSS personnel. (p64)</p> <p>Finding #25: Commission and council activities may not contribute meaningfully to CSS operations. (p66)</p>	Recommendation #8: Develop and implement Department-wide communication policies and practices. (p82)
Fiscal and Contract Management	
<p>Finding #26: Inadequate fiscal policies have resulted in ineffective allocation of resources and left the Department vulnerable to perceived or actual abuse. (p66)</p> <p>Finding #27: Monitoring functions are decentralized within the Department, although there has been a recent attempt to centralize certain functions both within branches and the Department. (p68)</p> <p>Finding #28: Ineffective contract monitoring at CSS reflects a lack of accountability and supervision, rather than an inappropriate organizational structure, span of control, or chain of command. (p68)</p>	<p>Recommendation #6: Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors. (p80)</p> <p>Recommendation #9: Review existing recommendations for sound accounting, cost allocation, and other fiscal policies and practices. Establish priorities and develop a timeline for implementation. (p82)</p>

**Management Audit of the
Department of Community & Senior Services**

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Fiscal and Contract Management continued	
<p>Finding #29: Recently (January 2004), about five top managers of the Department met to draft a plan for centralizing Contracting and Monitoring into one unit, but that plan has not been fully implemented. (p69)</p> <p>Finding #30: The cost allocation method utilized by the Department is inappropriate and has not been modified, despite audit recommendations. (p70)</p> <p>Finding #31: Some personnel may be inappropriately charged to programs to which they are not assigned. (p70)</p>	<p>Recommendation #10: Define and implement four distinct components of effective contract management: contract development, program management, contract compliance, and contract auditing. (p83)</p>
Information Technology	
<p>Finding #32: Existing technology opportunities are not adequately utilized. (p70)</p> <p>Finding #33: Information technology resources and training are not equitably distributed throughout the Department. (p70)</p> <p>Finding #34: IT projects have not been completed on a timely basis and it is difficult to understand the current status of any attempt at Information Technology enhancements based on information provided in the various Service Requests. (p71)</p> <p>Finding #35: Centralized and decentralized information technology functions are not well integrated. (p73)</p>	<p>Recommendation #11: Evaluate outstanding IT projects, establish priorities, and formalize an IT plan and timeline. (p84)</p>

Management Audit of the Department of Community & Senior Services

Exhibit #1: Summary of Audit Findings and Recommendations

Findings	Recommendations
Human Resources	
<p>Finding #36: The personnel management processes within the Department are perceived as perhaps the largest problem confronting the Department. (p73)</p> <p>Finding #37: Excessive use of out-of-class and acting nomenclature and the inconsistent payment of out-of-class bonuses indicate an inappropriate and inconsistent application of human resources policies. (p74)</p> <p>Finding #38: The wide spread lack of accountability at CSS as well as poor resolution of personnel problems contributes to perceptions that hiring and promotion decision are based on factors other than qualifications. (p75)</p> <p>Finding #39: A hiring and promotion audit conducted the DHR in 2002 revealed numerous infractions of County hiring policies and procedures. (p75)</p> <p>Finding #40: Training within CSS is decentralized and not consistent, leading to numerous examples of personnel in positions without proper training. (p75)</p> <p>Finding #41: Although most managers are trying hard to perform their functions, many managers have not been provided the proper level of training to effectively perform their jobs. (p76)</p> <p>Finding #42: Training at CSS has been inadequately tracked. (p77)</p> <p>Finding #43: Few CSS employees have completed critical training in such areas as sexual harassment, ethics, and discrimination. (p77)</p> <p>Finding #44: Attendance by too few individuals reduces organizational impact. (p77)</p>	<p>Recommendation #12: Evaluate Human Resources policies to ensure internal equity, fairness, and integrity in hiring, promotions, and salary adjustments. (p85)</p>

Management Audit of the Department of Community & Senior Services

E. Report Organization

This report is organized into six chapters and seven appendixes:

- I Executive Summary (this chapter)
- II Introduction
- III Department Profile
- IV Comparison with Other Social Service Agencies
- V Audit Findings
- VI Conclusions and Recommendations

Appendixes (under separate cover)

- A Interview Participants
- B Abbreviations and Acronyms
- C 2003-2005 Strategic Plan
- D Councils and Commissions
- E Program Funding Matrix
- F Audit Reports
- G Training

II. Introduction

This report presents the results of a “limited scope” management audit of the County of Los Angeles Department of Community and Senior Services (CSS) on behalf of the County Auditor-Controller.

A. Project Objectives

blueCONSULTING, INC. (blueCONSULTING) performed this audit to achieve the deliverables identified in the project Statement of Work, including:

- Department profile, including the mission, goals, objectives, regulations, business processes and workload targets, indicators, and measures.
- Current organizational chart, including validated reporting relationships, level of assigned personnel, and number of full-time equivalent (FTE) employees.
- Analysis of alternative organizational structures:
 - ⇒ Are organizational units and programs are best placed in CSS or should they be aligned with other County departments?
 - ⇒ Is the placement in the organizational hierarchy appropriate for each function and program?
 - ⇒ Are multiple units performing similar tasks that could be combined to improve effectiveness and efficiency?
 - ⇒ Should some functions be decentralized or distributed among branches to increase accountability or customer service?
- Analysis of Department communication:
 - ⇒ Are communication channels and approaches adequate to promote the understanding of Department-wide purpose, values, and goals?
 - ⇒ Does internal communication foster teamwork?
 - ⇒ Analysis of Department management:
 - ⇒ Do managers have sufficient training and/or experience to perform their jobs?
 - ⇒ Do reporting relationships and spans of control adequate promote effective management control, communication, and accountability?
- Analysis of Department planning:
 - ⇒ Does the Department’s Strategic Plan effectively provide a clear vision of the Department’s direction?
 - ⇒ Are short-term goals developed and communicated throughout the Department?
 - ⇒ Are strategic and operational goals and objectives feasible?
 - ⇒ Are practices in place to ensure implementation of strategic goals and objectives?
 - ⇒ Is there a system in place to ensure accountability for performance and achievement of strategic and operational goals and objectives that includes measurements, monitoring, independent verification, and reporting to stakeholders?

Management Audit of the Department of Community & Senior Services

- Analysis of Personnel management, policies, and procedures and identification of root causes for personnel problems:
 - ⇒ Are staff qualified to perform the jobs to which they are currently assigned?
 - ⇒ Which functions, if any, are understaffed?
 - ⇒ How effective are practices and procedures for recruitment, training, evaluation, staff allocation, and retention?
 - ⇒ Is there excessive turnover?
 - ⇒ Is there compliance with performance evaluations and MAPP?
 - ⇒ Are MAPP goals and subordinate managers' goals integrated with high level strategic and operational goals and objectives?

Specifically excluded from this management audit was any review of the actual effectiveness or quality of the various programs provided by or managed by the Department, or the level of customer service provided to the various constituencies of the Department.

B. Approach and Methodology

blueCONSULTING's approach to this limited scope management audit included:

- Document request
- Review and analysis of documents
- Interviews with senior management and other selected staff (see Appendix A)
- Interviews with external stakeholders, including Board of Supervisor deputies, other County department personnel, members of commissions, etc.
- Review of letters submitted by additional personnel, some of which were anonymous
- Interviews with additional personnel who requested confidential interviews

A list of commonly used abbreviations and acronyms is presented in Appendix B.

Document Request, Review and Analysis

Our initial document request included organizational charts, budgets, plans, program descriptions, training records, etc.

The blueCONSULTING team read and analyzed the numerous documents provided by CSS management and staff, including additional documents requested during the course of the project. These documents provide the quantitative background for our observations and findings.

Interviews

We conducted confidential interview with more than 50 individuals during the course of this audit, including:

- Managers (Chief Deputy, Assistant Directors, and Program Managers)
- Selected staff, as necessary, to follow up on specific items

Management Audit of the Department of Community & Senior Services

- Deputies to the Board of Supervisors
- 1st District Supervisor Gloria Molina
- Representatives of other County departments who interact with CSS, including Department of Public Social Services (DPSS), Department of Mental Health (DMH), Community Development Commission (CDC), Department of Consumer Affairs, and the Chief Administrative Office (CAO)
- CSS-related commission chairs or presidents
- Nineteen employees who requested confidential interviews

Confidential Correspondence

We solicited confidential input from all CSS employees who wanted the opportunity to provide input into the audit. As a result of a memo sent to all employees, we received more than 40 letters, faxes, or emails, about one third of which were anonymous. We contacted all individuals who provided their names and contact information and arranged for in-person or telephone interviews.

III. Department Profile

Excluding the City of Los Angeles, seniors (55 and up) make up about 27% of the County residents, which is projected to increase by over 70% in the next ten years. In addition, 18% of the population and 14% of families are below the poverty line² and are eligible for a variety of services. Chapter III presents a profile of the Department whose mission is to meet the needs of these County residents.

A. CSS 2003-2005 Strategic Plan

CSS participates in strategic planning, as mandated by the Board of Supervisors. Working with an external consultant, the CSS 2001-2003 Strategic Plan was most recently updated in June 2003. This section presents information provided in the Department's 2003-2005 Strategic Plan, including the mission, vision, and values and a summary of the Plan's goals and objectives³. A copy of the 2003-2005 Strategic Plan is in Appendix C.

Mission, Vision, and Values

It is the mission of CSS to provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses, and public and private agencies. According to the 2003 Strategic Plan and the Department website, the mission of CSS is to:

- Assist residents in obtaining self sufficiency.
- Strengthen and promote the independence of older persons.
- Provide employment and training for unemployed adults, displaced workers, seniors and young people.
- Protect and assist adult victims of abuse.
- Assist refugees in resettlement and becoming self sufficient.
- Provide safety and security for domestic violence victims.
- Develop services that are needed within local communities.

The Department's vision is stated as follows:

We will be an exemplary organization acclaimed for our national reputation, our regional strength, and our community partnerships and collaborations as we provide high quality human services to protect and improve the social and economic well being of the residents of Los Angeles County.

Furthermore, in a preface to the 2003-2005 Plan, the former Director asserts that:

² Source: http://www.fact-index.com/1/lo/los_angeles_county__california.html#Demographics

³ CSS 2003-2005 Strategic Plan, CSS website

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We have sharpened our strategic focus as we move forward with this update to our plan. We will aggressively, creatively and in the collaborative manner that has served us so well thus far, focus our strategic efforts on:

- *Implementing the County's Long Term Care Strategic Plan.*
- *Implementing the newly redesigned Independent Living Program.*
- *Expanding our aggressive efforts in comprehensive program monitoring in collaboration with the Auditor-Controller.*
- *Achieving organizational renewal and revitalization.*
- *Leveraging information technology and existing information technology resources.*
- *Building new and strengthening existing partnerships.*
- *Developing among the staff the skills needed in our challenging future.*
- *Ensuring proactive and comprehensive communication with and among our clients, stakeholders and partners on matters relevant to community and senior services.*

CSS Values

As stated, "Our values define how we will treat our clients, partners, stakeholders, employees and any organization or individual with whom we have contact." The CSS values are presented in Exhibit 2.

Exhibit #2: CSS Values (2003-2005 Strategic Plan)

- A Can-Do Attitude: We will focus on what can rather than what cannot be done.
- A Client Focus: We will always view our services and the way they are provided through the eyes of our clients.
- Accountability: We will take responsibility for all we say and do.
- Collaboration: We will be exemplary in teamwork, cooperation and service integration.
- Commitment: We will do what we say we do, when, and in the way we say we will do it.
- Compassion: We will treat with respect those less fortunate and less able. Everything we do will demonstrate we truly care.
- Integrity: We will be relentless in standing up for what is right.
- Professionalism: Everything we do will be done at the highest possible levels of performance. We will aspire to be a model for other organizations of our kind.
- Respect for Diversity: We value our diverse clients, partners, stakeholders and employees and will create a work environment that is free of prejudice and discrimination.
- Responsiveness: We will be responsive in the way our clients, partners, stakeholders and employees value it.

Strategic Plan Goals and Objectives

The following goals are linked to the County-wide strategic plan.

- **Goal 1: Service Excellence.** Provide the public with easy access to quality information and services that are both beneficial and responsive.
- **Goal 2: Workforce Excellence.** Enhance the quality and productivity of the County workforce.

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- **Goal 3: Organizational Effectiveness.** Ensure that service delivery systems are efficient, effective and goal oriented.
- **Goal 4: Fiscal Responsibility.** Strengthen the County's fiscal capacity.
- **Goal 5: Children and families' well being.** Improve the well-being of children and families in Los Angeles County as measured by the achievements in the five outcome areas adopted by the Board: good health; economic well-being; safety and survival; social and emotional well being; and educational/workforce readiness.

B. Legislation and Funding

As shown in Exhibits 3 and 4, CSS programs and services are funded by a variety of federal and State of California sources, and through Memoranda of Understanding (MOUs) with other County departments and agencies (who in turn are funded by federal, state, or other funding sources).

Exhibit #3: Summary of Legislation and Funding Sources

	Federal	State	Program/ Population Served
California Department of Aging Linkages		✓	Seniors with disabilities
California SB 2199		✓	Adult Protective Services
Community Service Block Grant Program	✓		Various programs that expand or enhance already existing community services, including Adult Protective Services
Older Americans Act	✓		State and Area Agency on Aging Senior Centers
Older Californians Act		✓	Alzheimer's Day Care Resource Centers Linkages services Senior Companion Program Brown Bag Respite Program
Refugee Act	✓		Employment social services Refugee Targeted Assistant
Workforce Investment Act	✓		Employment, training, and other workforce readiness programs and services for youth, adults, and dislocated workers

Exhibit #4: Summary of MOUs with Other County Departments

CSS MOUs with Other County Departments	Program/ Population Served
Consumer Affairs Department	Fraud recover and prevention for APS clients
County Public Library	Kiosk system
Department of Children and Family Services (DCFS)	Foster Youth Independent Living Skills Enhancement Program
Department of Health Services (DHS)	Healthcare Workforce Development Medical Intervention Proposition 36 Substance Abuse and Crime Prevention Act

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Exhibit #4: Summary of MOUs with Other County Departments

CSS MOUs with Other County Departments	Program/ Population Served
Department of Mental Health (DMH)	Public Guardian Genesis
Department of Public Social Services (DPSS)	CalWORKs ⁴ Long Term Family Self-Sufficiency CalWORKs Youth Jobs CalWORKs Refugee Immigrant Training and Employment Program (RITE) General Relief Opportunities for Work (GROW)
District Attorney (DA)	Elder Abuse Prosecution Support Program
Internal Services Department (ISD)	Foster Youth Trades and Crafts Apprenticeship Program
Probation Department	Adult and Youth Training Projects
Integration of funding from Older Americans Act, California Department of Aging, California Department of Social Services, and disabled parking violation fees	Integrated Care Management Project

A brief description of federal and state programs is described below.

Federal Legislation

Community Service Block Grant Program (CSBG)

The federal Omnibus Budget Reconciliation Act of 1981 created the CSBG program to help eliminate the causes of poverty. The CSBG program is designed to provide, through its funding stream presented in Exhibit 5, a range of services to assist low-income people in attaining the skills and motivation necessary to achieve self-sufficiency. The program also provides low-income populations life necessities such as food, shelter, and health care. Services are also provided to communities for the revitalization of low-income communities, the reduction of poverty and to help public agencies to build capacity and develop linkages with other community resources. Services provided with CSBG funds must contribute to one or more of the six goals developed by the National CSBG Monitoring and Assessment Task Force:

- Low-income people become more self-sufficient.
- The conditions in which low-income people live are improved.
- Low-income people own a stake in their community.
- Partnerships among supporters and provider of services to low-income people are achieved.
- Agencies increase their capacity to achieve results.

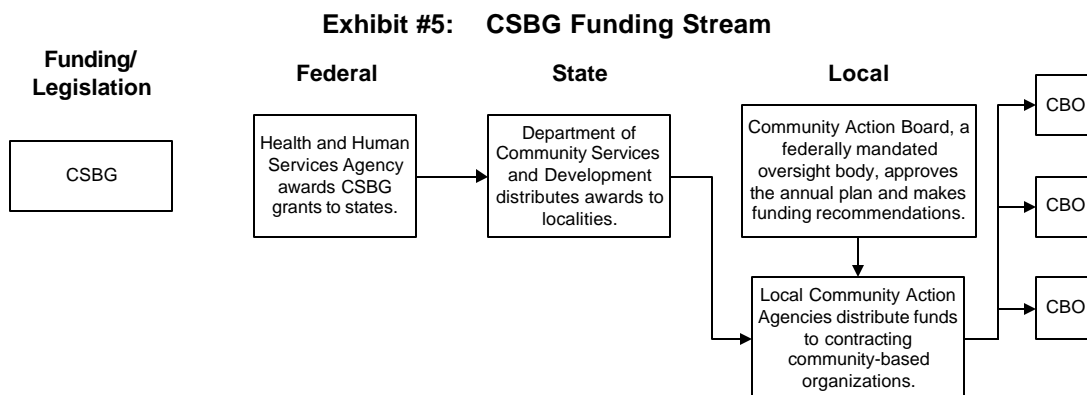
⁴ The *CalWORKs* program provides temporary financial assistance and employment focused services to families with minor children who have income and property below State maximum limits for their family size. Most able-bodied aided parents are also required to participate in the CalWORKs L.A. GAIN employment services program. (Source: www.ladpss.org/dpss/calworks/)

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- Low-income people achieve their potential by strengthening family and other supportive systems.

CSBG program funds are allocated to the State's existing network of action agencies and other eligible entities. In 2003, the federal Department of Health and Human Services awarded a \$57.3 million CSBG Grant to the state Community Services Department, California's state anti-poverty agency. The CSD is the state-level partner that is responsible for distributing the CSBG funds to local Community Action Agencies. Approximately 1.7 million low-income individuals were served, representing about 35.8% of California's low-income population. This is a formula-based grant and is not competitive. Eligible client households must meet 100% of the United States Department of Health and Human Services income poverty guidelines.

The Community Action Board is a federally mandated oversight body, which approves the annual plan and makes funding recommendations for the CSBG agency funding. The CAB is a tripartite body of 15 members: five public sector members appointed by each Board of Supervisor's office, five private sector member organizations, and five poverty sector members.



Workforce Investment Act (WIA)

The federal Workforce Investment Act of 1998 provides the framework for a national workforce preparation and employment system. This system is intended to be customer-focused, and to help Americans access the tools they need to manage their careers. The system is also intended to help companies find the skilled workers they need to compete and succeed in business. By Executive Order, Governor Gray Davis established the California Workforce Investment Board to advise and assist in planning, coordinating and monitoring the provisions of California's workforce development programs and services. All members of the Board are appointed by the Governor and represent the many facets of workforce development: business, labor, public education, higher education, economic development, youth activities, employment and training, as well as the Legislature.

Under the policy guidance of the CWIB, the state Employment Development Department (EDD) administers the Title I workforce investment programs throughout the State. They are

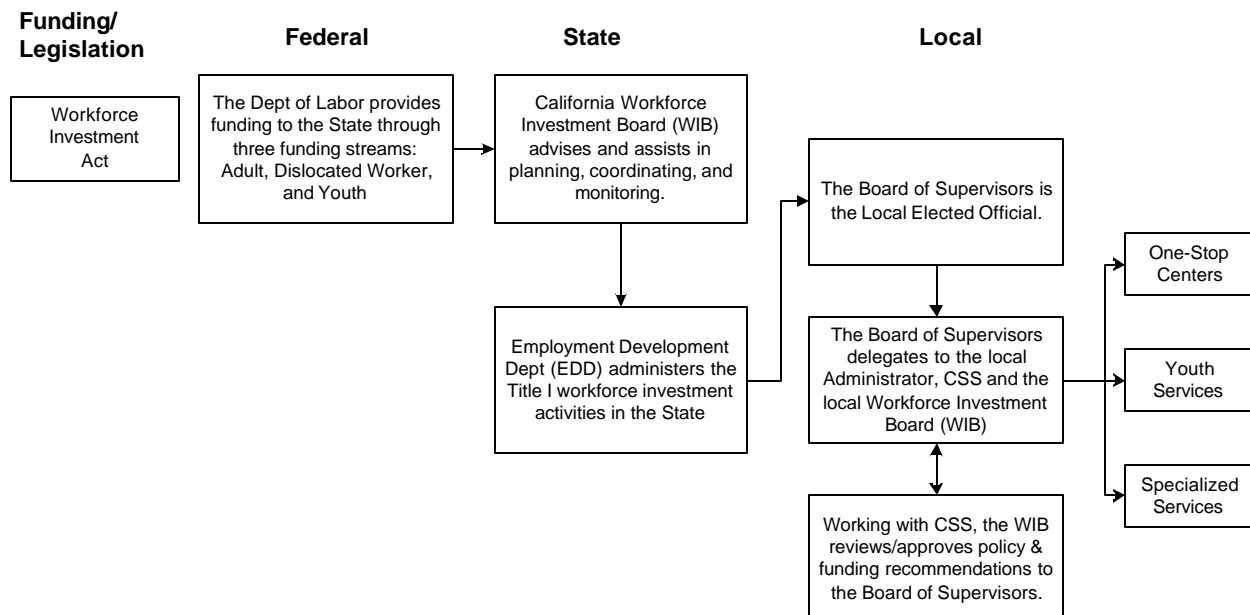
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responsible for the State-level daily administration of the WIA funds for adults, displaced workers and youth. EDD works in cooperation with Local Workforce Investment Areas (LWIAs). These local WIAs are comprised of units of local government and are designated by the Governor based on population and commonality of the labor market. Each local WIA is administered by a local Board certified by the State and comprised of representatives from private sector businesses, organized labor, community-based organizations, local government agencies, and local education agencies. Local WIBs designate the One-Stop operators, provide policy guidance, and oversee the job training activities within their local areas.

Title I of WIA authorizes and funds a variety of state employment and training programs. These programs help to prepare Californians to participate in the State's workforce by increasing their employment and earnings potential, improving their educational and occupational skills, and reducing their dependency on welfare in some cases. Workforce investment activities authorized by WIA are provided to serve two primary customer groups: job seekers (including dislocated workers, youth, incumbent workers and new entrants to the workforce) and employers.

As shown in Exhibit 6, the WIA funding stream provides services, WIA services are provided through a one-stop delivery system. One-Stop centers provide a comprehensive range of services, including employment, training and education services for job seekers, and comprehensive employer services, including resources for placing job orders and obtaining referrals, labor market data, information/referral on training resources, and business assistance.

Exhibit #6: WIA Funding Stream



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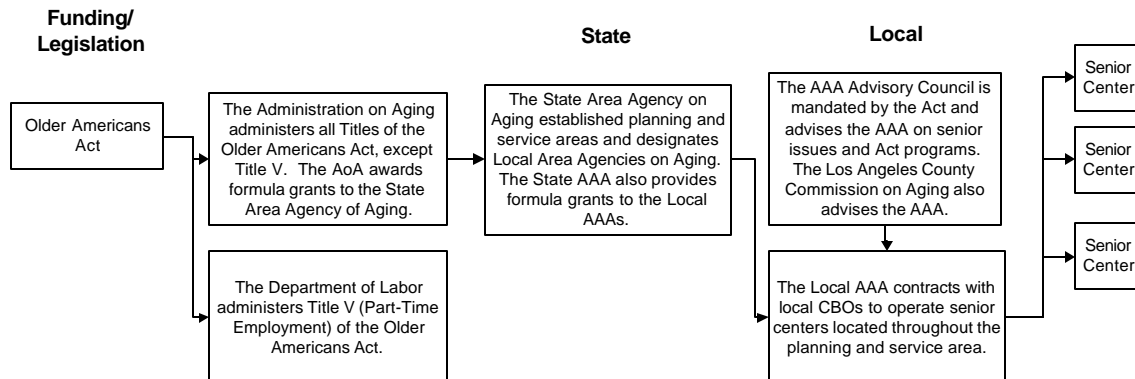
Older Americans Act

The Older Americans Act was originally signed into law by President Lyndon Johnson in 1965. In addition to creating the federal Administration on Aging, it authorized grants to states for community planning and services programs, as well as for research, demonstration and training projects in the field of aging. There were amendments to the Act that added grants to Area Agencies on Aging for local needs identification, planning and funding of services, including nutrition programs in the community and for the homebound elderly; services targeted at low-income minority elders; health promotion and disease prevention activities; in-home services for frail elders; and those services which protect the rights of older persons such as the long term care ombudsman program. The funding stream for the Older Americans Act is provided in Exhibit 7 on the following page.

Public Law 106-501 extends the Act's programs through FY 2005. The reauthorized Act contains an important new program, the National Family Caregiver Support Program, which aids family members who are struggling to care for their older loved ones who are ill or who have disabilities. Under this program, state agencies on aging work with local area agencies on aging and community and service provider organizations to provide support services, including information and assistance to caregivers, counseling, support groups and respite and other home and community-based services to families caring for their frail older members.

Title II of the Act established the Administration on Aging within the Department of Health and Human Services. The Administration's duties include serving as an effective and visible advocate for older individuals; collecting and disseminating information related to the problems of the aged and aging; administering grants; conducting program evaluations; providing technical assistance and consultation to states; and stimulating more effective use of existing resources.

Exhibit #7: Older Americans Act Funding Stream



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Title III discusses the administration of grants for state and community programs on aging, and is the largest program under the Act. Title III describes the responsibilities and requirements for State and Area Agencies on Aging. It is through the programs and structures established by this title that most of the money is authorized and legislative detail is found. The State Area Agency on Aging is responsible for dividing the State into distinct planning and service areas (PSA) and designating an Area Agency on Aging (AAA) for each area. The State Agency on Aging must also carry out a Long-Term Care Ombudsman program and guidance related to disaster relief. The AAA is responsible for assessing the needs of older persons within their PSA. Each AAA is required to provide assurance that an adequate proportion of funds allocated to the PSA under Title III-B will be expended for the delivery of each of the following categories of services: access, in-home and legal assistance. The AAA must also establish an advisory council consisting of older persons to advise the agency on area plan development, administration and operation. Services included under Title III are: senior centers, supportive services (health, transportation, information and assistance, housing, long-term care, legal assistance, employment services, crime prevention), congregate meal and home delivered nutrition services, disease prevention and health promotion services, and the National Family Caregiver Support Program.

Title IV provides for training, research, and discretionary projects and programs. Title V's purpose is to foster and promote useful part-time opportunities in community service activities for unemployed low-income persons who are 55 years old or older and who have poor employment prospects. Title V is administered by the Department of Labor, not the Administration on Aging. Title VI provides for grants for Native Americans. Title VII protects and enhances the rights and benefits of vulnerable older people through its elder rights activities, which include the ombudsman program: prevention of Elder abuse, neglect and exploitation; and the legal assistance development program.

Refugee Act of 1980

This Act created two sources of federal funding for refugees. These sources of funding consisted of the Refugee Employment Social Services and Refugee Targeted Assistance funds. The funds are to be used for services to refugees who have resided in the United States five years or less.

State Legislation

Older Californians Act

The Older Californians Act is the state companion of the federal Older Americans Act. It provides for the following services:

- **Linkages Case Management Program** provides care and case management services to frail elderly and functionally impaired adults to help prevent or delay placement in nursing facilities.

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- **Alzheimer's Day Care Resource Center Program** provides access to specialized day care resource centers for individuals with Alzheimer's disease and other dementia-related disorders and support to their families and caregivers.
- **Senior Companion Program** provides personally meaningful volunteer community service opportunities to low-income older individuals for the benefits of adults who need assistance in their daily living.
- **Brown Bag** provides opportunities for sponsors and volunteers to glean through excess food stuffs that are donated and distribute bags of food to help meet the nutritional needs of low-income older individuals.
- **Respite Program** provides temporary or periodic services for frail elderly or functionally impaired adults to relieve persons who are providing care. Respite purchase of service and respite registry are two components of this program.
- The Older California Act of California also established the **Area Agency on Aging Advisory Council**. The mission of the Advisory Council is to promote communication and collaboration among local advisory councils. It also works to:
 - ⇒ Educate through the exchange of information, ideas, trends, and models of service delivery.
 - ⇒ Advocate on issues of concern in local/state planning processes.
 - ⇒ Strengthen the advocacy effectiveness and leadership skills of local advisory councils.

The Advisory Council is funded primarily through taxpayer contributions to the California Seniors Special Fund (line 52 on most California tax returns for the 2003 tax year). The funds are administered through the California Commission on Aging.

SB 2199

Prior to the implementation of SB 2199 in May 1999, Adult Protective Services (APS) was minimally funded and there were few statewide mandates or standards. SB 2199 created a statewide APS Program with statewide minimum standards. SB 2199 expanded the definition of mandated reporters to include any person who has assumed full or intermittent responsibility for the care or custody of an elder or dependent adults. APS agencies are also required to respond to and investigate all reports of physical abuse, financial abuse, neglect (including self-neglect), abandonment, isolation and abduction. APS agencies are also required to operate a 24-hour emergency response system that provides in-person responses 24 hours a day, seven days a week. The 24-hour system allows counties to provide immediate intake or intervention for new reports involving immediate life-threats and to respond to critical situations in existing cases. APS agencies are also required to provide case management services that include investigation, assessment of individual limitations, strategies for stabilization, linkage to community services, monitoring and reassessment. Prior to SB 2199, counties were not required to conduct case management services.

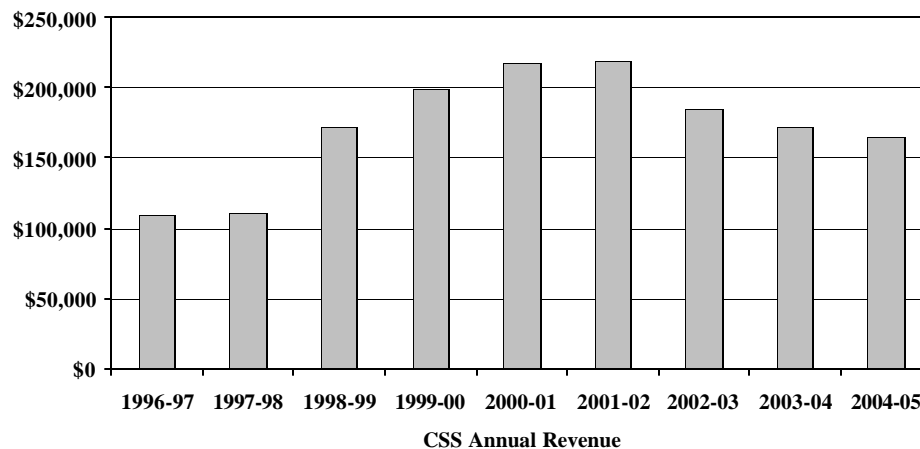
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The APS Program has been funded under the CSBG Program since 1984. APS is currently funded by the APS appropriation provided by SB 2199 and partially by the CSBG appropriation.

C. Department Revenue

The Department is almost entirely dependent on grant funding from the federal and state sources described above. After peaking in fiscal year 2001-2002, with annual revenue of \$219.4 million, CSS revenue has begun to decline, with anticipated 2004-05 revenue of \$164.7 million. The following exhibit illustrates CSS revenue trends.

Exhibit #8: CSS Revenue Trend 1996-07 through 2004-05



D. CSS Programs and Services

CSS provides some very valuable programs and services to constituents of Los Angeles County who are among the most vulnerable. This section presents a brief description of each program or service provided by CSS⁵, either directly, or indirectly through contracts with CBOs. They have been listed in three broad categories:

- Aging and Senior Services
- Community Services for the general community
- Workforce Development for the general community, dislocated workers, refugees, and youth

In fiscal year 2003-04, CSS had approximately 474 contracts with approximately 260 CBOs. Exhibit 9 lists all programs by the population they serve: the general community, dislocated workers, refugees, seniors, and youth.

⁵ Source: 2003-2004 Budget, 2003-2005 Strategic Plan, and additional information from confidential interviews

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Exhibit #9: Summary of CSS Programs & Services

Branch	Division	Program/Service
Community		
Aging	APS	CalWORKs Supportive Services, Domestic Violence services
Aging	APS	Domestic Violence Program for GROW participants
Aging	APS	Emergency Shelter
Aging	Community Service Centers	Community Service Centers
Aging	Community Service Centers	Family Care Giver Support Program/60+
Aging	CSBG	Community Services programs
Aging	CSBG	Dispute Resolution Program
Aging	CSBG	Traffic Safety
E&T	Indian Commission	LA City/County Native American Indian Commission
E&T	WIA Adult	WtW (discontinued)
E&T	WIA Adult	WIA E&T Adult Program
Dislocated Workers		
E&T	Special Programs	Healthcare Workforce Development
E&T	Special Programs	Private Industry Network Aerospace (PAN) (discontinued)
E&T	Special Programs	Project Phoenix
E&T	Special Programs	Rapid Response & Actors Fund
E&T	WIA Adult	WIA Dislocated Worker
Refugees		
E&T	Refugee	Elderly Refugee Discretionary
E&T	Refugee	Refugee: CalWORKs Rite
E&T	Refugee	General Relief Opportunities for Work (GROW)
E&T	Refugee	Refugee: REP
E&T	Refugee	Supplemental Refugee Services (SRS)
E&T	Refugee	Targeted Assistance
Seniors		
Aging	AAA	Alzheimer's Day Care Resource Center
Aging	AAA	FEMA Foodbasket and Senior Foodnet Programs
Aging	AAA	Elderly Discretionary
Aging	AAA	AAA Support Services
Aging	AAA	AAA/Title III Senior Citizens Programs
Aging	AAA	Ombudsman
Aging	APS	Adult Protective Services
Aging	APS	Elder Abuse Program
Aging	Community Service Centers	Senior Nutrition Program/Congregate Meals
Aging	Community Service Centers	Home Delivered Meals and Effective Nutritional Health

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Exhibit #9: Summary of CSS Programs & Services

Branch	Division	Program/Service
Youth		
E&T	WIA Adult	Foster Youth Independent Living Skills Enhancement Program
E&T	WIA Youth	At Risk Youth Services
E&T	WIA Youth	Juvenile Justice Crime Prevention Act (Probation)
E&T	WIA Youth	WIA E&T Youth Program

Aging and Senior Programs and Services

CSS provides a number of programs and services to support the needs of the elderly residents of the County, including Adult Protective Services, nutrition programs, senior centers, etc. In addition, the Department plans for and coordinates current and future service delivery to seniors as the local Area Agency on Aging. This section briefly describes each program or service.

Adult Protective Services (APS)

Adult Protective Services (APS) is a State-mandated program established to provide crisis intervention and case management services to elders and dependent adults who are victims of abuse, neglect, self-neglect or financial or other exploitation, or who are unable to protect their own interests, and to family members on behalf of the victims. APS receives an average of 1,600 new reports each month of suspected dependent adult/elder abuse and self-neglect.

Services include a 24-hour hotline to report suspected abuse, operation of emergency shelters, and relationships with 24 community-based care management agencies that provide follow-up services. APS has interdepartmental MOUs with the District Attorney's Office (DA), Department of Mental Health (DMH), Department of Health Services (DHS), and Consumer Affairs to provide such specialized multi-disciplinary services as court forensic services, in-home mental health assessments, and fraud prevention services.

Area Agency on Aging/Integrated Care Management

On July 1, 1999, the Area Agency on Aging (AAA, referred to as "triple A") implemented a County-wide Integrated Care Management Demonstration (ICM) Project using four sources of funds (Older Americans Act, Linkage AB 2800, Linkage AB 764, APS expansion). This project provides care management and service coordination to functionally impaired adults and older adults to maintain an optimum level of functioning and prevent or delay premature institutionalization of frail older adults and disabled adults. Care Managers assess each client's strengths, support system, and needs to develop a plan to obtain services that promote and maintain independent living and avoid nursing home placement. These are called Care Plan Goals. Although Care Plan Goals are individually tailored for each client, several common Care Plan Goals emerge: stable and affordable housing, transportation services for medical appointments and shopping, nutrition services, help in the home and health care. Successful achievement of Care Plan Goals for housing, transportation, nutrition, in-home services, and health care are measured at the time the client's case is closed.

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Senior Nutrition Program-Congregate Meals

Part of Senior Citizens programs, the goal of the Senior Nutrition Program-Congregate Meals Program is to provide nutritious meals to adults aged 60 and over in a social setting. In addition to providing one-third of the recommended daily allowance for protein, calories and important nutrients, the congregate meals service provides opportunities for increased socialization for elders who may live alone, are isolated, or suffer from depression. Social functioning and emotional well-being are tied to quality of life for older adults. Success is measured in terms of improved social functioning and emotional well-being after six months of participation.

In addition, CSS will utilize the national Administration on Aging Social Functioning survey, which measures a client's activity level for visiting and talking on the telephone with friends and neighbors, sending and receiving mail, attending church or other worship services, movies, club meetings, classes or group events, eating out at restaurants, the number of times the client leaves home during the week, and whether physical or mental health has limited social activities. CSS will also utilize the Administration on Aging Emotional Well-Being Survey, which measures a client's self-evaluation of feelings of depression, anxiety, lack of sleep, and feeling healthy and full of energy.

Home Delivered Meals and Effective Nutritional Health Assessment and Networks of Care for the Elderly (ENHANCE)

Federal funding for home-delivered meals has been inadequate for the past several years. In order to ensure that the home-delivered meals service is provided to the most frail and those least able to prepare meals for themselves, CSS social workers must demonstrate that participants of the home-delivered meals service have limited ability for daily living activities (e.g., walking, bathing, dressing) and instrumental activities (e.g., shopping, cooking, managing money).

Participants who have a very high nutritional risk score of nine and above (cannot shop, cook or feed themselves, impacting their ability to obtain adequate nutrition) are referred to the ENHANCE Program. CSS uses the Nutrition Screening Initiative (NSI) Determination Checklist Measure for nutritional risk. The ENHANCE Program provides in-depth nutritional assessment and consultation with a Registered Dietitian to initiate disease prevention/health promotion preventive clinics for seniors 60 years and over with diabetes.

Senior Citizens Program

The Senior Citizens Program delivers human services that promote independent lifestyles for the most vulnerable older individuals in Los Angeles County. The Older Americans Act, its primary funds source for senior programs, identifies the most vulnerable as those who are low income, minority, or aged 75 and older. CSS programs for senior citizens: serve a high percentage of low income elderly; serve a high percentage of minority elders; and serve a high percentage of old elders (aged 75 and older). Services include home-delivered meals and congregate meals, in-home services, respite care, registry services, health insurance counseling, and Alzheimer's day care resource centers.

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Family Caregiver Support

The Family Caregiver Support program is a direct result of the National Family Caregiver Support Act (NCFSA) that was enacted by Congress to provide support to family and relative caregivers of frail older adults (aged 60 and over). The Family Caregiver Support program provides information to caregivers about available services, assistance to caregivers in gaining access to the services, caregiver support such as counseling, support groups, and training, and respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities. Under the Family Caregiver Support Program, the caregiver is the client. Two different types of caregivers may be eligible for services: family and relative caregivers.

Home Based Care

The Home Based Care Program (HBC) uses an integrated approach to funding the provision of in-home services such as personal care, homemaking and companionship, as well as registry service, to assist functionally older adults (aged 60 and over) to maintain independent living and to support caregivers in their caregiving role. In addition, the HBC program provides respite for older adults caring for minor children. In general, individuals eligible to receive HBC services include frail and functionally impaired older adults and family and relative caregivers. Registry services are to be made available to anyone residing in the contractor's service area who desires to employ an in-home worker.

Community Services Programs and Services

CSS provides a variety of programs and services that serve a broad segment of the County and are not specifically geared to seniors or workforce development.

Community Based Organization Safety First Project

The Community Based Organization (CBO) Safety First Project provides a variety of bicycle, pedestrian, and traffic safety education programs to poverty level residents in cities throughout Los Angeles County. Special emphasis is placed on specific target areas, designated by the State, with a high concentration of poverty level population and a corresponding high rate of traffic injuries and fatalities.

The specific goals of the Safety First Project are to provide education and increase knowledge of traffic safety. These goals are accomplished by offering a combination of education and dissemination of equipment to eligible clients. The four program categories in which the public will be offered education are pedestrian safety, seat belt safety, bicycle safety, and child restraint safety. The equipment that is available to eligible members of the community includes convertible car restraints (car seats), backless booster child restraints, bicycle helmets and pedestrian flashing lights. This equipment is only issued after the recipient has demonstrated a thorough knowledge of its proper use.

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Community Service Centers and Senior Centers

CSS has a network of eleven community service centers and three senior centers at sites throughout Los Angeles County. The centers serve as primary access points to government services by community residents and seniors. CSS also serves as the building supervisor for tenant service agencies.

Each center is unique and reflects the ethnically diverse communities served. CSS centers provide direct services to over 1.9 million individuals and families to meet immediate, critical needs, including 44,000 emergency food baskets, emergency shelter, emergency gas and electric bill payments, and ombudsman assistance for persons in crisis. Other services include immigration counseling, health care, nutrition services, substance abuse counseling, and building supervision for tenant service agencies. In addition to the above services, the service centers are part of the delivery system for the Department's grant programs. Five of these programs operate out of the centers:

- Voluntary Mediation Services to divert court cases.
- State Naturalization Project for legal immigrants.
- Refugee Employment Social Services Public Charge Project for naturalization, outreach and translation services.
- APS outreach to provide support services to APS clients.
- Family Caregiver Project to provide community education, information assistance and outreach services.

The service centers also serve as “service brokers” to tenant agencies and community-based organizations that provide a wide range of services. Examples of some of the services include:

- Child day care
- Congregate meals
- Counseling for the disabled
- Education programs such as English-as-a-second-language
- Family and group counseling
- Handyman services for minor rehabilitation of residences
- Headstart/preschool teaching
- Health care
- Job placements for older or underemployed workers
- Language translation services
- Nutrition services
- Refugee services
- Substance abuse counseling

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Community Services Block Grants (CSBG)

The objective of Community Services Block Grants (CSBG) Community Services Programs is to leverage and augment existing programs and services for the County's neediest residents. As such, CSBG funding is integrated with other program dollars including WIA, Domestic Violence, Citizenship programs, the Department's service centers, etc.

CSBG programs assist individuals and families in crisis resulting from substance abuse, domestic violence, homelessness, and other causes. In addition, these programs provide services that assist low-income persons and families to move beyond poverty to self-sufficiency.

Domestic Violence CalWORKs Supportive Services

The Domestic Violence CalWORKs Program provides adult victims of domestic violence assistance to overcome barriers to self-sufficiency by providing them with a safe and stable emotional and physical environment, to access supportive services including information and referrals, education, and work-related activities. In addition to these services, DV CalWORKs provides three-day emergency shelter, hotel vouchers, transportation, counseling, legal representation, food and clothing, and other supportive services to assist victims of domestic violence and their dependents to improve their lives and enter the workforce.

Domestic Violence Emergency Shelter

The Domestic Violence Emergency Shelter program is the first program in Los Angeles County to provide direct funding to emergency crisis shelters. The focus is to serve victims of domestic violence and their children in a safe, undisclosed, confidential location. CSS currently funds 23 shelters County-wide that provide crisis counseling, shelter, food, clothing, transportation, crisis hotline and other needed services 24 hours a day, seven days a week. The maximum stay in an emergency shelter is 30 to 45 days. Also, the Emergency Shelter Program also has an established walk-in center that is accessible within the community to victims that are not in the shelter.

Dispute Resolution Programs Act

The goal of the Dispute Resolution Programs Act (DRPA) is to provide various dispute resolution services as alternatives to more formal court proceedings. Services include mediations, telephone conciliations, group facilitations, and arbitrations. Services are provided through contracts with non-profit organizations and government entities. Contract goals are based on the number of individuals, businesses, and organizations accessing the services and the cost per dispute resolved. Participation in the program is strictly voluntary for the disputing parties.

General Relief Opportunity for Work Domestic Violence Program

The General Relief Opportunity for Work (GROW) Domestic Violence Program offers a case management approach to serving adult victims of domestic violence with no children or

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who may be a non-custodial parent. Many of the GROW domestic violence clients have lost custody of their children due to homelessness, substance abuse or mental illness. The services include the development of a needs assessment and service plan for each client; professional and peer counseling; emergency food, clothing and shelter; transitional services; outreach; transportation; legal services; resources and referral; and household establishment and independent living skills. CSS currently funds 19 programs County-wide.

Workforce Development Programs and Services

The objective of the workforce development programs administered by CSS is to increase the self-sufficiency of eligible youth, adults, and refugees. Most CSS programs are funded by the federal Workforce Investment Act and allocated via the State Employment and Development Department (EDD); others are funded by other federal programs or the County⁶.

CalWORKS Youth

The goal of the CalWORKs Youth Jobs program is to place CalWORKs-eligible youth in summer jobs and provide workforce readiness training while they are on their summer or off-track break. By serving this hard-to-reach population, CSS anticipates that clients will either remain in school, graduate from secondary education, or find unsubsidized employment. During the 2001-2002 Program Year, the CalWORKs Youth Program provided 4,939 eligible youth with paid summer work experience and work readiness skills. Of the 4,939 clients, 93% have returned to school, graduated from high school or found unsubsidized employment. In the 2002-2003 Program Year, 4,694 youth were served and 94% achieved a positive result.

Foster Youth Independent Living Skills Enhancement Program (ILP)

The new Independent Living Skills Enhancement Program (ILP) will provide services to foster youth aged 16 through 21 who have emancipated or are emancipating from the foster care system. The objective of this program is to provide continuation of services to foster youth as they leave the foster care system and assist them in the transition to independent living, including job readiness.

Eligible foster youth will have access to a continuum of services that are broken down into four domains related to successful independent living: Readiness for Independent Living, Social Relationships and Interpersonal Supports, Vocational Skills and Knowledge of World of Work, and Self-Sufficiency. Services will be provided by contracted Skills Centers who will ensure that their participants have access to WIA WorkSource Centers and WIA Youth Centers for more extensive job preparation and placement services as appropriate.

⁶ Program Funding Data Sheet, provided by CSS in response to audit data request

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General Relief Opportunity for Work (GROW)

On August 21, 1998, the State of California passed a law allowing counties to continue the current level of funding for General Relief (GR) clients contingent upon the implementation of a mandatory Welfare-to-Work program. On December 15, 1998, the Board of Supervisors passed a motion requesting the Department of Public Social Services (DPSS) to implement the new law in Los Angeles County and requiring the immediate start-up of a mandatory Welfare-to-Work program equivalent to that provided to CalWORKs recipients. To implement the new law in Los Angeles County, DPSS requested that CSS provide employment and training orientation, job skills preparation classes, and placement assistance for GR clients via its network of service providers. CSS operates this program through an MOU with DPSS.

Healthcare Workforce Development Program (WDP)

The Healthcare Workforce Development Program (WDP) trains and retrain the County Department of Health Services (DHS) workforce impacted by the restructuring of DHS and to avert mass layoffs. The WDP will provide comprehensive services that address workforce training and restructuring activities in Los Angeles County's healthcare system. It encompasses ongoing planning and research activities to ensure that training is responsive to the changing needs of DHS. WDP will meet the needs of workers involved in health care delivery system restructuring efforts. WDP training activities include: design and implementation of training programs linked to specific 1115 waiver-mandated initiatives; development and implementation of training programs that address critical labor shortages by training DHS employees to promote into needed occupations; and support DHS restructuring by upgrading work skills through portable skills, bridge programs, and innovative training programs.

Project Phoenix

Project Phoenix, which concluded March 31, 2004, provided services to dislocated workers who were impacted by the economic downturn following the September 11, 2001 terrorist attacks. This program assisted employees whose employers had significant decreases in revenues resulting in lay-offs. The program concluded March 31, 2004.

Refugee Employment Program (REP)

The goal of the Refugee Employment Program (REP) is to provide services to newly arrived non-English/non-Spanish CalWORKs-eligible refugees and their families to further their acculturation to American culture and promote self-sufficiency. These services include pre-employment and vocational training, job placement, and assistance with acculturation and adaptation to the American work culture. All services are rendered in the participants' primary languages. CSS has established performance measures that test the participants' 90-day job retention rate. Performance measures are tracked, analyzed and recorded through the Refugee Information System.

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Refugee Immigrant Training and Employment (RITE)

The Refugee Immigrant Training and Employment Program (RITE) provides State-mandated welfare reform employment services to all non-English/non-Spanish speaking Greater Avenues to Independence (GAIN) CalWORKs recipients who have been in the United States more than five years. RITE objectives include improving conditions for all RITE participants and their children and families by providing educational/vocational training and employment placement services in the participants' primary languages. RITE has been operated by CSS through an MOU with DPSS.

Senior Employment Program

This program serves individuals 55 years and older whose annual income is not greater than 125% above the poverty level. The program provides training opportunities for more than 270 individuals through 80 CBOs and coordinates services in partnership with the WIA WorkSource Centers.

Workforce Investment Act (WIA) Programs

Funded through the federal Workforce Investment Act (WIA) via the EDD, CSS operates three employment and training programs for low-income County residents. There are eight local Workforce Investment Areas in Los Angeles County – the County comprises the second largest area, after the City of Los Angeles. In addition to managing contracts for one Workforce Investment Area, CSS also distributes funds to the other seven. Mandated by the government, a Workforce Investment Board (WIB) meets regularly to provide guidance and establish policy for WIA operations. (Note: In July 2000, WIA replaced the Job Training Partnership Act – JTPA – and shifted to an employer focus, versus an employee focus.)

To deliver WIA services, the County launched WorkSource California, a collaborative effort of CSS, DPSS, the City of Los Angeles, CDC, the California EDD, the County Economic Development Corporation, the eight County WIAs, and more than 45 CBOs.

The **WIA Youth Program** serves clients between the ages of 14 and 21. Program objectives are based on outcomes nine months after the program conclusion, including:

- Have or will or have receive a high school diploma.
- Entered college or a vocational training program.
- Enlisted in military service, or
- Begun employment.

WIA Youth provides access to an array of services including tutoring, counseling, mentoring, leadership, alternative education, summer youth employment, internships, and support services. Youths do not exit the program until all planned services are obtained. In the years that the WIA Youth program has been in operation, more than 4,000 youths have been served each year.

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The **WIA Adult Program**⁷ was established to increase the self-sufficiency of the eligible adult population in Los Angeles County. At *WorkSource Centers* located throughout the County, the program provides customized, intensive job search, training, and placement services to more than 4,200 low-income clients over the age of 18.

The **WIA Dislocated Worker Program** assists residents of Los Angeles County who have been or anticipate being displaced from the workforce find employment that will allow them to continue to be self-sufficient. The programs provide intensive job search, training and placement services to over 2,500 clients who were or anticipate being dislocated from prior employment.

Hotline Operations

As part of its various services, CSS operates five hotlines, including:

- Area Agency on Aging Information Service
- Adult Protective Services Mandated Reporters Hotline
- CIU Domestic Violence Hotline
- Elder Abuse Hotline
- WorkSource Career Seeker

E. Organizational Structure and Staffing

CSS is organized into three branches reporting through the Chief Deputy Director up to the CSS Director. The position of CSS Director is currently vacant, the previous Director having left the Department in March 2004. The Chief Deputy Director is acting as interim Department Director, over three branches.

The Department currently has about 500 employees. Depending on the source and our analysis (see Exhibit 10 below), budgeted, filled full-time equivalent employees (FTEs) ranged from 481 to 488, not including as many as 177 temporary FTEs (student professional workers, student workers, neighborhood workers, and other contract workers).

Exhibit #10: FTE Analysis Sources

Source	Date	Number of FTE			
		Budgeted	Filled	Temp	Temp
2003-04 Estimated Actual Staff Analysis Summary and Details	3/18/2004	544	501.5**	177	98.1*
CSS Alphabetical Budgeted Position Item Control	4/6/2004	544	481	100.5	48.5
CSS Employee Roster by Pay Location Report	4/19/2004	567*	n/a	n/a	n/a
CSS Employee Roster by Employee Last Name	4/19/2004	564*	n/a	n/a	n/a

* Includes temporary workers and lists by individual, not by FTE.

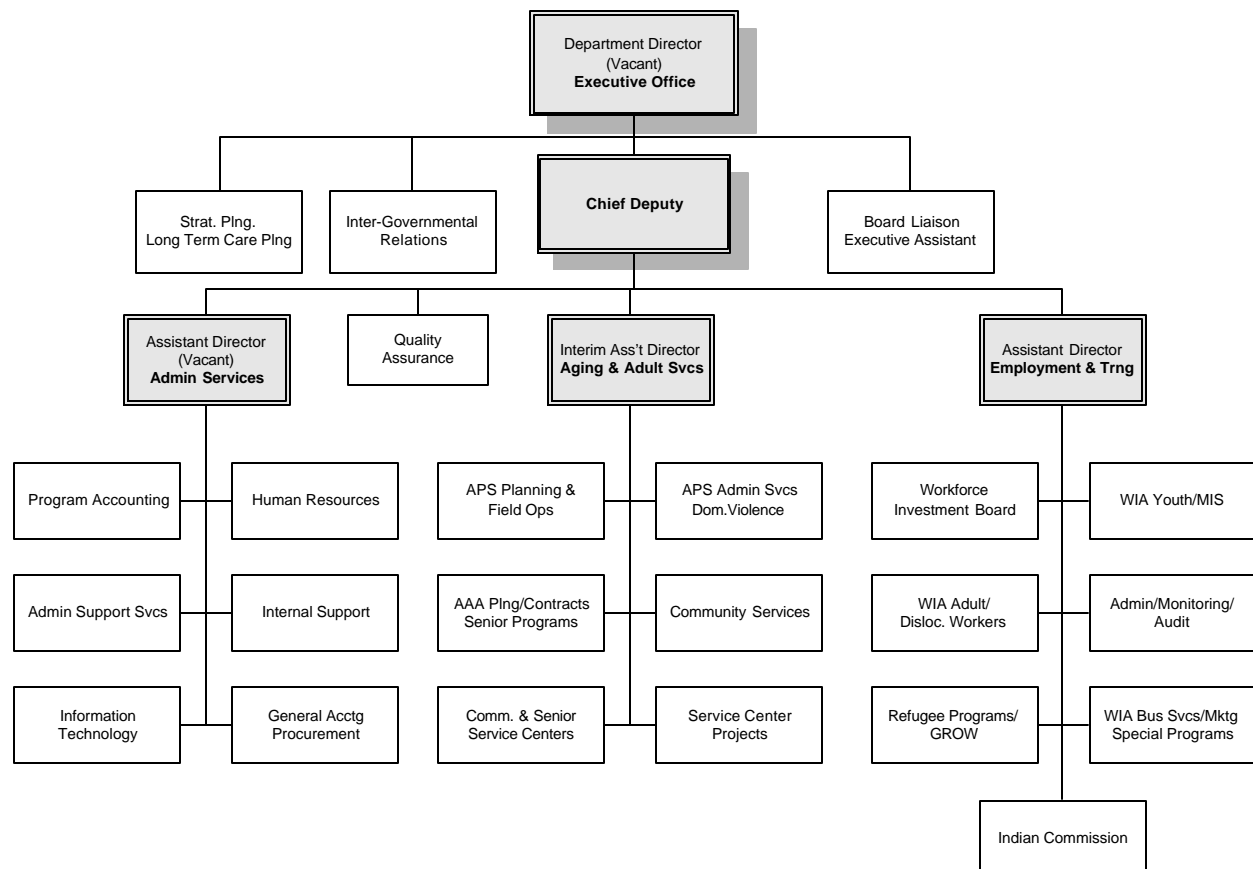
** Based on blueCONSULTING analysis of this hard copy document

⁷ Source for these descriptions: Initial Data Request 1d, 1e.

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In general, Program Managers report to the Assistant Directors, and Project Supervisors and Community Service Directors (Is and IIs) report to Program Managers. Staff positions include Community Service Analysts (CSA Is, IIs, and IIIs), Human Services Administrators (HSA Is, IIs, and IIIs), Social Workers, Analysts, Executive Assistants, and various clerical classifications. Exhibit 11 below presents the current organizational structure of CSS.

Exhibit #11: Current CSS Organizational Chart
Source: CSS



The functions and services provided by each branch are described below.

Administrative Services Branch

Managed by an Assistant Director (this position is currently vacant), Administrative Services includes the various functions that provide operational controls and support the Department's activities, including budget, program accounting, human resources and employee relations, information technology, and other support services.

General Accounting/Procurement

Budget/Fiscal Services provides budget and fiscal services, general accounting, procurement and accounts payable, and revenue and accounts receivable.

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Program Accounting

The Program Accounting division oversees the budgets for the numerous programs CSS manages and monitors, including the funding sources (state, federal, or MOU with another County department) and allocation of funds to the various CBOs who administer the programs.

Administrative Services Support Division

The manager of this division is currently assigned as Interim Assistant Director over the Aging & Adult Services Branch. As a result, Human Resources is a separate division – previously Human Resources reported through Administrative Services Support. However, these functions continue to be performed in Administrative Services Support: administrative investigations (internal and Fraud Hotline referrals); new hire background checks and investigations; employee relations and contract negotiations; Affirmative Action compliance; and training and tuition reimbursement.

Human Resources

The Human Resources division provides a variety of services to CSS, including recruitment and hiring, promotions and lateral transfers, discipline and grievances, performance evaluation process and monitoring, benefits, and other human resources functions. As noted above, human resources functions are currently split between the Administrative Services Support and Human Resources divisions.

Information Technology

Information Technology supports CSS's networked PC-based computing environment, including hardware and software acquisition, maintenance, and upgrades; help desk; systems and applications development; email, intranet, and internet; and policies and procedures governing the use of computers, the internet, email, etc.

Internal Support Services/Emergency Preparedness Coordination

This division provides a variety of services to support the Department's facilities (two office buildings, 14 Community and Senior Centers, and several APS field units). Functions include inventory, security, and building maintenance. .

Adult and Aging Services Branch

Overseen by an Interim Assistant Director, the Adult and Aging Services Branch provides direct services to County seniors and manages contracts that provide services to the general community.

Adult Protective Services Planning & Field Operations

This division is comprised mostly of social workers who provide crisis intervention and case management services to elders and dependent adults who are victims of neglect, abuse or exploitation, or who are unable to protect their own interests, and to family members on behalf of the victims. They are organized in two regions, each with seven field offices.

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Additional work in this division consists of APS Planning, which provides adult support oriented programs and resource development, and monitors legislation. Additionally, there is a Special Operations Unit which is designed to provide support such as resource identification and training for the field operations. Finally, this group has a Special Response Alert (SRA, formerly called VIP) Liaison and Branch Office Support function which is designed to provide special liaison between the field offices and individuals who request special assistance, such as members of the Board of Supervisors or others in government offices.

APS Administrative Services and Domestic Violence

This organization provides additional social workers for 24 hour coverage through the APS Night Rollout Unit, and for coverage at the Civic Center Homeless Project. Social Workers also work in the Centralized Intake Unit which is designed to be a call center for persons referring cases to the APS organization. Another critical function in this unit is the Domestic Violence Council Support and related program personnel. APS Automation and Clerical Operations are also in this unit, designed to support the automation, information and clerical needs of the various field offices and personnel, and

AAA Planning and Contracts/Senior Programs

This division is assigned the responsibility for planning and managing specialized aging programs through numerous contract organizations. A variety of nutritional, transportation and health care related programs are provided. Also provided are support for the Community Action Board, the Los Angeles County Commission on Aging and the AAA Advisory Council, and their various committees, task forces and special events.

Community Services

Community Services Programs, provided primarily through the Community Services Block Grants, assist individuals and families in crisis resulting from substance abuse, domestic violence, homelessness and other causes. In addition, these programs provide services that assist low income persons and families to move beyond poverty to self-sufficiency.

Community and Senior Service Centers

CSS Centers provide direct services to individuals and families to meet immediate, critical needs, including emergency food baskets, emergency shelter, emergency gas and electric bill payments and ombudsman assistance for persons in crisis. Other services included at varying locations include immigration counseling, substance abuse counseling and building supervision for tenant service agencies. Additionally, the service centers are part of the delivery system for the Department's grant programs such as the Voluntary Mediation Services to divert court cases, State naturalization Project to deliver naturalization services to legal immigrants, the Refugee Employment Social Services Public Charge Project for naturalization services to legal immigrants, APS outreach to provide support services to APS clients, and Family Caregiver Project to provide community education, information assistance and outreach services. The service centers also serve as "service brokers" to tenant agencies and community based organizations that provide a wide range of services.

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Employment and Training Branch

The Employment and Training Branch (E&T) is primarily responsible for the administration of contracts related to employment, training, and other workforce readiness services. The branch's Assistant Director, assisted by an Executive Assistant and a Secretary, oversees seven divisions, as described below.

Workforce Investment Board

Staff in this unit support the Workforce Investment Board (WIB), the mandated oversight body for agencies that manage programs funded by the Workforce Investment Act (WIA). Functions include:

- Coordination of WIB meetings and agendas
- Research
- Conference and travel arrangements for WIB members
- Filing Statements of Economic Status with the Board of Supervisors
- Preparation and distribution of meeting minutes
- Liaison with congressional staff
- Contact for businesses and job seekers who want information and referrals regarding Job Centers, and the Workforce California system

WIA Youth/MIS

The Program Manager over this division oversees the summer employment and other youth-related employment and workforce readiness programs funded by WIA. The MIS function for all Employment and Training programs also reports to the WIA Youth Program Manager. Programs and functions in this division include:

- **WIA.** This division receives all of the WIA funds for the County and allocates funds to the seven other Workforce Investment areas. WIA funds for all eight areas have decreased from a high of \$17 million to \$20 million down to \$6.5 million.
- **CalWORKS.** This summer jobs program for eligible youth is funded by the State through DPSS. It has been combined with WIA Youth funds to provide more comprehensive work opportunities for eligible youth.
- **On-the-Job Training Program** (funded by the Probation Department's Juvenile Justice Crime Prevention program).
- Staff to the Youth Council that oversees implementation of WIA Youth funds.
- Employment and Training MIS (data entry and report generation).

WIA Adult/WorkSource Center Operations

This division manages the contracts for employment and training programs geared to unemployed and dislocated adult workers through the WIA Adult/Dislocated Worker programs and WorkSource Centers. In addition, this division oversees a new foster youth program and provides staff support, research, and planning for WIB committees.

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Administration/Monitoring/Audit

This is a relatively new function within the Employment and Training branch. Prior to its establishment in May, 2002, each Program Manager was responsible for his or her own program monitoring. (Note: The Program Manager over this division previously managed the WorkSource Centers, which were moved to the WIA Adult division at the same time this division was created.). Functions performed by staff in this division include:

- Audit resolution of CBO single audit findings and recommendations.
- Inventory management for property at County sites used by CBOs.
- Completion and processing of supplemental contract documents, such as insurance forms.
- Preparation of incidence reports (reports of any abuse or fraud at a CBO).
- Program monitoring (2003-2004 program monitoring, including fiscal, will be outsourced per a recommendation of the Auditor-Controller).
- Resolution of monitoring findings and reports.

Refugee Programs/GROW

This division oversees contractors who run programs serving non-Spanish speaking refugees in Los Angeles County, including RITE, REP, 60+ (for older refugees), Human Traffic Assistance Program, and Child Care program to train refugees as child care providers. In addition, this division manages contracts for GROW programs. The current acting Program Manager is an Executive Assistant who has been in this position for 15 months.

Special Projects/Healthcare (Business Services/Marketing)

Identified on the organizational chart as Special Programs/Healthcare, this division manages employment and transitional skill training programs for displaced/potentially displaced healthcare workers from the Department of Health Services, actors, and others who may be vulnerable to economic downturns or changes. “Business Services” refers specifically to the need to respond to the shift in employment and training from job seekers to businesses. Division programs and services include:

- Healthcare Workforce Development Program
- Actors Fund
- Rapid Response
- Project Phoenix

Native American Indian Commission

This unit is staffed by a single Executive Assistant. See the next section for a description of the program.

F. Commissions and Councils

CSS is involved in several commissions and boards, a number of which are mandated by the agencies that fund CSS programs or services. Numerous staff are assigned to support these commissions, to conduct research, and provide other information, as required. The major commissions, councils, and committees include:

- **Area Agency on Aging Advisory Council.** The State AAA is charged with dividing the state into distinct planning and service areas (PSA) and designating an AAA for each PSA. The local AAA is responsible for assessing the needs of older persons within its PSA. It is required to provide assurances that an adequate proportion of funds allocated to the PSA under Title III-B will be expended for the delivery of each of the categories of services: access, in-home and legal assistance. The local AAA Advisory Council is federally mandated by the Older Americans Act. The Advisory Council consists of older persons (including older minority individuals) who are participants or who are eligible to participate in OAA programs to advise the agency on area plan development, administration and operation. (Source: <http://www.4tacc.org/AboutTACC.htm>)
- **Community Action Board (CAB).** The Community Action Agency (CAA) designation was created under Title II of the Federal Economic Opportunity Act of 1964. The Federal law mandates the establishment of a CAB to oversee the activities of the CAA. The CAB's membership is made up of representatives of the economically disadvantaged, the private sector and the public sector. The CAB makes funding recommendations to the LA County Board of Supervisors regarding the allocation of grant funds to private nonprofit and public agencies. (Source: <http://dcss.col.a.ca.us/boards/CAB/Caboardtext.htm>)
- **Los Angeles County Commission on Aging (LACCOA).** LACCOA is the local commission representing the California Commission on Aging, which serves as “the principal advocate in the state on behalf of older individuals, including, but not limited to, advisory participation in the consideration of all legislation and regulations made by state and federal departments and agencies relating to programs and services that affect older individuals.” As such, it is the principal advisory body to the Governor, State Legislature, and State, Federal and local departments and agencies on issues affecting older individuals in order to ensure a quality of life for older Californians so they may live with dignity in their chosen environment. (Source: <http://www.calaging.org/history/history.html>)
- **Domestic Violence Council.** The Los Angeles County Domestic Violence Council was established by the Board of Supervisors on April 20, 1979, to study the problems of domestic and family violence in Los Angeles and to make recommendations pertaining to coordination, education, public information, training, shelter services, legislation, and the development of programs in these areas. The Domestic Violence Council is the first joint government-private sector domestic violence program in the State of California to launch a comprehensive approach to family violence. The Council's forty members include public sector representatives from both the County and City, as well as community representatives from various domestic violence service agencies. Active committees include: Training, Public Information, Health Issues, Legal Issues, Legislative Issues, Executive Directors (Shelter Programs), Gay and Lesbian Issues (Ad Hoc) Committee, Religion and Domestic

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Violence (Ad Hoc) Committee, and the Executive Board. Members of these committees volunteer their time, energy, and creativity to address the issues critical to the needs of domestic violence victims. (Source: <http://dcss.co.la.ca.us/DV/DVCounciltext.htm>)

- **Los Angeles City/County Native American Indian Commission (NAIC) and Self-Governance Board.** This commission promotes programs and funding to serve urban American Indians and American Indian organizations; advocates legislation and policy favorable to the urban American Indian community; coordinates activities of related community groups; and advises the City Council, Mayor, Board of Supervisors, and Los Angeles residents on issues relating to American Indians. Staffed by one program manager at CSS, the commission has 16 members: five each appointed by the Board of Supervisors and the City of Los Angeles, five selected by the Los Angeles Indian Community, and one emeritus commissioner. (Source: <http://bos.col.a.ca.us/Rosters/FactSheet/chv-55.htm>)
- **Workforce Investment Board (WIB).** The Local WIB is a federally mandated advisory body that is responsible for developing the five-year local workforce investment plan and conducting oversight of the One-Stop system, youth activities and employment and training activities under Title I of WIA in partnership with the chief elected official. The WIB has 40 members, eight standing committees, and (currently) seven ad hoc committees. In addition to the individual tasked with WIB coordination and administration, several employees in the Employment and Training Branch serve as staff to various committees.
- **Youth Council.** The Youth Council is a federally mandated subgroup within the local WIB, whose members include members of the local WIB (educators, special education personnel, employers, representatives of human service agencies who have special interest or expertise in youth policy; representatives of service agencies such as juvenile justice, law enforcement, public housing authorities; representatives of Job Corps). The Youth Council is responsible for coordinating youth activities in the local area; developing portions of the local plan related to eligible youth; recommending eligible youth service providers; conducting oversight with respect to eligible providers of youth activities in the local area subject to the approval of the local WIB; and carrying out other duties as authorized by the chairperson of the local WIB, such as establishing linkages with educational agencies and other youth entities.

A comprehensive list of all commissions, councils, and committees is presented in Appendix D.

IV. Comparison with Other Social Service Agencies

The CSS organization is unique compared to similar agencies within California and elsewhere. *In particular, most counties do not combine services for seniors with the workforce development and employment services that are also provided by CSS.* blueCONSULTING conducted a limited benchmarking study of other regional social service agencies that were responsible for functions comparable to those performed by CSS. The following exhibit lists the agencies that were examined and their respective functions in comparison with CSS, including:

- Alameda County Social Services Agency
- Cook County, Illinois, Suburban Area on Aging
- San Bernardino County Department of Aging and Adult Services
- San Diego County Health and Human Services Agency
- San Francisco Department of Aging and Adult Services

Exhibit #12: Comparison with Other County Agencies

Function	Alameda County	Cook County	San Bernardino County	San Diego County	San Francisco	CSS
Adult Protective Services		✓	✓	✓	✓	✓
Veteran Services	✓			✓	✓	
AAA	✓	✓	✓	✓	✓	✓
Probate/Public Administrator				✓	✓	
Conservatorships				✓	✓	
IHSS	✓		✓	✓		
Long Term Care	✓	✓	✓	✓		✓
Senior Employment		✓	✓	✓		✓
Family Caregiver Support		✓	✓	✓		✓
Health Care Advocacy	✓	✓				✓
Adult Day Care	✓	✓				✓
Nutrition	✓	✓	✓	✓		✓
Children & Family Services	✓			✓		
Public Assistance (AFDC, Food Stamps, Medical Care, General Assistance)	✓			✓		
Health Services	✓*			✓		
Employment Services	n/a	n/a	n/a	n/a	n/a	✓

* for elderly

Source: Agency websites and interviews

None of the organizations above were responsible for employment and training opportunities for non-elderly clients. In addition, the San Bernardino, San Diego, and San Francisco agencies have undergone significant reorganizations in the recent past.

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San Bernardino

The San Bernardino Department of Aging and Adult Services was formed in 1992 as a result of merging the Department of Adult Services and the Department of Aging. Benefits of this merger include heightened coordination between aging and adult programs and staff; greater flexibility in resource allocation; and enhanced program planning and policy development

The Department established three regional offices to serve the Desert, East Valley and West Valley portions of San Bernardino County. The regional offices are responsible for providing services to both dependant adults, as well as seniors. They also oversee the daily operations of all district offices within the region to assure that consistent, high quality services are being provided, and they operate the In-Home Supportive Services (IHSS) Program and the Adult Protective Services (APS) Program and coordinate with aging programs. The Regional Offices are mostly aligned to the existing planning regions.

San Diego

San Diego County formerly had five organizations that provided either health or social services to County residents: Department of Health Services, Department of Social Services, Department of Veterans Services, Area Agency on Aging, Commission on Children, and Youth and Family. In late 1996, the San Diego County Board of Supervisors approved the merging of these organizations into one agency: the Health and Human Services Agency. In early 1998, the Public Administrator and Public Guardian organizations were also transferred to Health and Human Services. By bringing these services together, the delivery of health and social services could be streamlined and integrated. The Agency could also be transformed into a more efficient, effective, and client-focused organization.

To better meet the needs of San Diego County's diverse population, six geographic regions were established. Some services are in higher demand in one region than in another, and the regional system allows the Agency to focus services in areas where they are needed to provide maximum efficiency. The Agency has six primary program areas which cover the various aspects of public health and social services.

The Agency is headed by a director and a chief operating officer (COO) who are accountable to the County's Chief Administrative Officer and the Supervisors. An executive team works with the Director and the COO to oversee the programs the Agency provides. Regional General Managers are responsible for planning and managing the delivery of health and social services and engaging community leadership. Public health and mental health workers, social workers and welfare workers serve clients in an integrated fashion, often alongside other public and private service providers, treating families and individuals in need as customers and working across programs to ensure customers' needs are met.

San Francisco

San Francisco's Department of Aging and Adult Services was created three to four years ago, as a result of merging the County's AAA, Veteran Services, APS, Public Guardian/Public Conservator, and Public Administrator. The County's IHSS program is likely to become part of the Department in the near future. There are four major divisions in San Francisco:

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- **Office on Aging** manages Older Americans Act programs and senior services.
- **Public Guardian/Public Conservator** oversees personal and probate conservatorships for vulnerable seniors and adults.
- **Public Administrator** oversees estates of San Francisco citizens who die without a will or when appointed by the Superior Court.
- **Adult Protective Services** investigates and intervenes in cases of physical or financial abuse of seniors and dependant adults or in cases of self-neglect.

APS Caseloads

The average caseload (new cases per social worker per month) in San Bernardino is 18-38 cases. This wide range is due to heightened times of the year when services are in more demand. There are no specific guidelines regarding social worker caseloads. San Bernardino managers are strongly opposed to any agreement with social workers that would limit caseloads.

In December 2003, 134 new case referrals were assigned during the month in Alameda County. APS intake has had to triage cases as a result of budget reductions and a hiring freeze from January 2003 that was still effective as of December 2003. According to the Alameda County Social Services Agency, the State has allowed certain APS cases to be evaluated and not investigated. As a result, the active APS caseload has declined.

The average caseload in San Francisco is 25 new cases per social worker per month, but the current caseload is 40 new cases. San Francisco mainly attributes this large caseload to seven unfilled social worker positions that have been frozen by the County due to budget cuts. Even though there has been discussion of guidelines regarding caseload, currently there are no restrictions or limitations on social worker caseloads.

The caseloads for CSS are similar for other counties and APS does a good job of managing the average actual new caseloads per social worker. Shown below in Exhibit 13 are the “official” and “actual” number of new cases per month over the last three years. “Official” caseloads are the average number of new cases per month if all employees were available to take cases, while the “actual” caseloads are the average number of new cases per actual employee working during the period (not on leave or training, etc.).

**Exhibit #13: Average New APS Caseload Trend
Calendar Year 2001-Year-to-Date (April 2004)**

CSS APS Office	2001 Caseload		2002 Caseload		2003 Caseload		Year-to-Date (4/04) Caseload	
	Official	Actual	Official	Actual	Official	Actual	Official	Actual
Burbank	16.5	21.6	13.7	25.2	12.6	24.7	10.2	15.5
East Los Angeles	22.6	24.9	20.9	24.8	15.4	22.4	18.7	20.4
Florence-Firestone	19.4	24.1	19.7	25.0	17.8	23.3	15.8	21.3
Glendale ¹	--	--	--	--	6.5	8.1	14.7	23.1
Glendora ²	19.5	22.4	17.2	25.0	17.7	22.9	18.6	22.5
Hawthorne ³	--	--	--	--	9.5	13.3	13.9	14.8
Lancaster	22.0	25.9	24.1	30.5	26.8	29.3	8.6	10.1
Lawndale	22.5	23.9	18.4	23.8	15.8	19.7	15.1	18.2
Metro	19.7	24.3	18.1	23.5	19.5	23.7	17.6	21.5

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**Exhibit #13: Average New APS Caseload Trend
Calendar Year 2001-Year-to-Date (April 2004)**

CSS APS Office	2001 Caseload		2002 Caseload		2003 Caseload		Year-to-Date (4/04) Caseload	
	Official	Actual	Official	Actual	Official	Actual	Official	Actual
Mid-Wilshire	24.1	28.1	18.4	22.8	14.5	21.0	10.9	18.8
Pasadena	13.9	22.6	17.2	23.6	16.9	21.0	16.7	20.4
South	18.3	24.4	18.0	24.4	18.5	24.4	14.9	18.4
Van Nuys	14.2	21.5	16.1	23.5	12.1	23.5	14.4	26.1
Westside	17.6	23.0	17.2	20.8	15.4	23.1	14.1	17.2
County Totals	19.1	23.9	18.3	24.4	16.9	23.0	14.7	19.4

(1) Opened in September 2003

(2) Pomona office until 2002

(3) Opened in May 2003

Contracting with Community Based Organizations

San Bernardino currently has numerous contracts with social service agencies that provide Multi-Senior Service Programs (agencies provide more intensive case management than IHSS case management); nutrition, both congregate and home delivered; legal; brown bag (nutrition program); and respite.

Senior centers are subsidized by local communities. The centers are managed by San Bernardino municipalities and senior clubs, which are non-profit organizations with boards of directors that fundraise to meet operating costs.

In Cook County, Illinois, the Suburban Area on Aging distributes funds to more than 35 local CBOs to provide services such as senior nutrition programs, transportation, and housekeeping assistance to older persons in suburban Cook County. Services are supported by the Older Americans Act, Illinois General Revenue Funds, local funds, charitable foundations, grants and individual contributions. The Cook County AAA, with its network of senior service agencies, is a prime source for information regarding senior services in the suburban area surrounding Chicago.

San Francisco contracts with 45 local community agencies, a public hospital and a para-transit company. The following services are contracted through these agencies and organizations:

- Nutrition services (congregate and home-delivered meals)
- Senior centers and resource centers
- Advocacy and training
- Case management
- Senior empowerment advocacy
- Legal and naturalization services
- Housing counseling
- Senior companion (escorts for elders to appointments)
- Adult day care
- Elder abuse prevention

V. Audit Findings: Department Management

This chapter details blueCONSULTING's audit findings – the results of interviews with staff and management, review of documents, observations, and interviews with external stakeholders. Findings are organized from the broadest aspects of the Department – mission, organizational structure, and culture – to more specific functional and process-related findings, such as budget, monitoring, and human resources.

A. CSS Strengths

The strengths of CSS include:

- Commitment and passion of staff who have a strong belief in the Department's mission and in serving the needs of the County's neediest residents.
- Flexibility to respond to the needs of County residents as different grants, programs, and funding sources become available.
- Knowledge and expertise of long-term employees.
- Passion among many employees to serve the County's most vulnerable residents.

B. CSS Mission

According to the 2003 Strategic Plan and the Department website, the mission of CSS is to provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses and public and private agencies, as well as to:

- Assist residents in obtaining self sufficiency.
- Strengthen and promote the independence of older persons.
- Provide employment and training for unemployed adults, displaced workers, seniors and young people.
- Protect and assist adult victims of abuse.
- Assist refugees in resettlement and becoming self sufficient.
- Provide safety and security for domestic violence victims.
- Develop services that are needed within local communities.

Finding #1: The Department's mission does not reflect a strategic determination of programs and services.

The Department mission is very broad, resulting in a lack of clear focus for Department operations. It appears to be a catch-all reflecting all the services that happen to be provided versus a strategic determination of what the Department can best provide, given its resources and those of other County departments. For example, there is little synergy between the Aging and Adult Services Branch and the Employment and Training Branch, which is reflected in their lack of communication and teamwork.

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Finding #2: The core mission of the Department has grown over the last ten years, is very broad, and contributes to a loss of focus of the Department.

The Department has evolved over the years as a result of department mergers, picking up programs not performed effectively in other departments, and bringing in new programs as a source of revenue for the Department. At the same time, the programs in this department have been compartmentalized into silos due to their differences rather than unified based on their similarities.

There are numerous opportunities for existing functions to be performed in other County Departments, but whether or not this should occur is dependent on the desired mission of the Department. The mission may be too broad in terms of the definition of community, given the other County departments that also serve many of the same stakeholders, including the Department of Public Social Services (DPSS), Consumer Affairs, Department of Children and Family Services (DCFS), Mental Health Department, the Sheriff's Department (and other local law enforcement agencies), Probation, and the Community Development Corporation (CDC).

For example, should the Department:

- Be defined as a contract administration organization that manages and monitors any community-related programs that are outsourced to CBOs?
- Provide any direct services, such as those currently provided by Adult Protective Services (APS), the community and senior service centers, and nutrition programs?
- Only provide direct services, including those currently contracted out?
- Provide services to any and all segments of the community whose needs are not met by other County departments, even if other departments may have either the expertise or capacity? One interview participant described this mission as “shoring up the community, being responsive to our ever-changing society.” Included in this group are:
 - ⇒ Seniors
 - ⇒ Refugees
 - ⇒ Foster youth (over 18 years of age, or over 16 and emancipated/emancipating)
 - ⇒ Native Americans
- Should the Department (continue to) provide services to segments of the community also served by other departments?
 - ⇒ Unemployed youth and adults
 - ⇒ At-risk youth (foster youth, youth on probation, youth living in poverty)
 - ⇒ Fraud victims
- Should the Department provide services to County employees whose own departments have the capability of providing the services – could displaced healthcare employees be served directly by DHS human resources)?

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- Should the Department have an overriding criterion for service eligibility, inclusive of those criteria set by federal agencies (e.g., Department of Labor or Department of Health), the State of California, DPSS, or DCFS?

Exhibit 14⁸, beginning on the next page, provides a list of programs within CSS, along with their funding source, annual funding, staff (County or Contracted), service area, and advisory board. The exhibit also identifies other County departments that may be appropriate candidates for managing the programs and a very brief explanation of why there may be greater synergy in program transfers to other departments. (See recommendation xx for our recommended organizational structure and alignment of programs and services.)

One of the issues to consider when reviewing County department reorganization is any potential savings that may result. The Program Funding Matrix presented in Appendix E lists each grant and program within the Department and the amount of administrative cost per program.

⁸ Source: Provided by the Auditor-Controller. FY 2003-04 annual award figures updated by information provided by CSS during the course of this study.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area ⁹	Advisory Board	Rationale for Transfer to Other County Department
Employment and Training						
Workforce Investment Act (WIA) provides employment services through a network of WorkSource Centers to unemployed and disadvantaged adults in the County Workforce Investment Area. Includes WIA Adult and Dislocated Workers, Rapid Response, Healthcare Grant, WIA Youth, and Welfare-to-Work	Federal Workforce Investment Act and State Employment Development Department (EDD) via MOU with DPSS and CDC	\$60.8 M	Contracted	local Workforce Investment Area: Primarily San Gabriel Valley and Antelope Valley	Workforce Investment Board (WIB)	<p>DPSS administers the CalWORKs and GROW programs. DPSS has longstanding service and funding partnerships with education and training providers across the County, including all eight local Workforce Investment Areas.</p> <p>CDC works with local businesses to encourage job creation and retention in unincorporated areas of the County. CDC provides employment referrals and education classes for public housing residents at Family Learning Centers.</p>

⁹ Service area typically refers to those unincorporated areas of the County not served by local city governments, including the City of Los Angeles.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area⁹	Advisory Board	Rationale for Transfer to Other County Department
CalWORKs Youth Jobs provides work-based learning opportunities, career planning and job placement for CalWORKs youths.	State EDD via MOU with DPSS	\$9.8 M	Contracted	Countywide	None	<p>DPSS currently funds this program through an MOU with CSS. DPSS has service and funding partnerships with education and training providers across the County, including all seven local Workforce Investment Areas which currently administer (as CSS subcontractors) the Youth Jobs Program.</p> <p>LACOE currently provides education and training services for adult CalWORKs participants through an MOU with DPSS. LACOE administers public education programs for 1.7 million children and youth from kindergarten through 12th grade.</p>
General Relief Opportunities for Work (GROW) provides employment and training services, including orientation, job club, job placement assistance, and supportive services for General Relief participants.	State EDD via MOU with DPSS	\$13.6 M	Contracted	Countywide	None	DPSS currently funds this program through an MOU with CSS. DPSS is already responsible for administering the General Relief Program and those aspects of the GROW program not administered by CSS.
Refugee Training and Employment Program (RITE) provides GAIN services to non-English/non-Spanish speaking CalWORKs participants	State CalWORKs via MOU with DPSS	\$9.0 M	Contracted	Countywide	None	DPSS currently funds this program through an MOU with CSS.
Refugee Employment Programs (REP) provides employment training and support services to refugees residing in the country for less than 60 months. Includes Targeted Assistance Discretionary and Elder Discretionary programs	Federal DCS and State CalWORKs via MOU with DPSS	\$13.8 M	Contracted	Countywide	None	DPSS administers the CalWORKs program. Most REP participants already receive CalWORKs, food stamps, and Medi-Cal from DPSS.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area ⁹	Advisory Board	Rationale for Transfer to Other County Department
Other Community Services						
CalWORKs Domestic Violence Support Services provide crisis intervention, short-term shelter, and various residential and walk-in supportive services, such as counseling and legal assistance to domestic violence victims.	State CalWORKs via MOU with DPSS	\$13.2 M	Contracted	Countywide	Domestic Violence Council	<p>DMH develops and coordinates community-based mental health services, including crisis intervention and emergency programs that are available to victims of domestic violence.</p> <p>DPSS currently funds this program through an MOU with CSS. DPSS works closely with the dozens of Domestic Violence shelters subcontracted with CSS to deliver these services across the County.</p>
<p>Domestic Violence Emergency Shelter Program provides crisis intervention, short-term shelter, and various support services such as counseling and legal assistance to domestic violence victims.</p> <p>Domestic Violence GROW provides services to GROW participants who are victims of domestic violence</p>	CSS and State GROW via MOU with DPSS	\$2.3 M	Contracted	Countywide	None	<p>DMH has experience working with mental health and other service providers throughout the County to provide access to treatment for low-income families and children, including victims of domestic violence.</p> <p>DPSS has experience with Domestic Violence shelters across the County to deliver CalWORKs Domestic Violence Support Services, which are virtually identical to the services provided through this program.</p>
Alternative Dispute Resolution Program provides voluntary alternatives to formal legal proceedings for a variety of conflicts through 17 private, non-profit and public agencies.	CSS	\$3.8 M	Contracted	Countywide	None	Consumer Affairs already provides dispute settlement services (mediation) as a free alternative to going through the court system.

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area ⁹	Advisory Board	Rationale for Transfer to Other County Department
Community Services Block Grant (CSBG) (includes LA City/County Native American Indian Commission, Traffic Safety, and Citizenship Assistance) Assists low-income individuals and families in their efforts to move beyond poverty to self-sufficiency.	Federal Department of Labor	\$14.3 M	Contracted (except for Indian Commission)	Countywide	Community Action Board (CAB)	<p>CDC administers the Community Development Block Grant program which provides services to low- and moderate-income people in unincorporated areas of the County.</p> <p>DPSS has experience administering both the CalWORKs and General Relief programs.</p> <p>DPSS has experience working closely with community-based and public organizations to implement strategies aimed at the underlying causes of poverty and barriers to self-sufficiency (e.g., the Long-Term Family Self-Sufficiency Plan, the CalWORKs Funding Recommendations Stakeholders Process).</p>
Senior Services						
Adult Protective Services (APS) provides protective services to elders and dependent adults who are victims of abuse, neglect, self-neglect, or financial exploitation	CSBG and SB 2199 via MOU with DPSS	\$25.8 M	County and Contracted	Countywide	None	<p>DPSS currently funds this program through MOU with CSS.</p> <p>DPSS administered this program prior to 1990.</p>
Older Americans Act Programs (Area Agency on Aging/AAA) includes home delivered meals, congregate meals, in-home services, respite care, registry services, legal assistance, case management, Alzheimer's Day Care, and senior employment training	Federal Older Americans Act	\$20.8 M	Contracted	Countywide, except for City of L.A.	Commission on Aging (CAB) and AAA	<p>DHS administers a variety of public health, nutrition, and case management services that promote the well-being of the County's senior citizens.</p> <p>DPSS has experience working with community-based and public organizations</p>

Exhibit #14: CSS Program Description
Funding Source and Rationale for Transfer to Other County Department

Program or Service	Funding Source	FY 2003-2003 Award	Staffed by County or Contracted	Service Area⁹	Advisory Board	Rationale for Transfer to Other County Department
California Department of Aging Programs provide additional support for many AAA programs, health insurance counseling, Linkages case management for frail and functionally-impaired adults, senior companion services.	State Older Californians Act	\$5.5 M	Contracted	Countywide, except for City of L.A.	Commission on Aging (CAB) and AAA	Same as above
Community and Senior Service Centers include 14 community centers and 3 senior centers that provide food baskets, emergency shelter, emergency gas and electric bill payments, health programs, ombudsman assistance, nutrition services.	Federal Older Americans Act and State Older Californians Act	\$4.7 M	County	Countywide	None	<p>DPSS has experience delivering a variety of benefits and services to the public through dozens of offices across the County, including services provided through co-located CBOs and other public agencies.</p> <p>Consumer Affairs provides a variety of community services designed to protect the needs of County consumers.</p>

C. Culture, Management, and Leadership

As described by CSS employees and managers in confidential interviews and letters, the CSS organizational culture is characterized by a pervasive lack of accountability for individual and Department actions and practices, a desire and willingness to ignore unpleasant information, and alignment with or allegiance to narrowly defined functional silos. Furthermore, the culture has engendered considerable cynicism and bitterness among employees who observe that long-term problems go unresolved, see unqualified or less qualified employees promoted over more qualified colleagues, and work for inadequate or unethical supervisors and managers who are not held accountable for poor or negligent performance, all the while remaining silent for fear of retaliation.

Finding #3: There is a lack of appropriate leadership and accountability at all levels of the organization.

- The recently retired Director has been characterized as being all about image and vision, avoiding problems, providing little direct leadership or action.
- Assistant Directors are perceived to lack expertise in their current assignments and are not held accountable for problems in their respective areas.
- Program Managers have uneven management skills, and are likewise not held accountable for problems in their respective areas.
- Even some managers who are clearly capable of offering leadership, sometimes do it in a belittling and demeaning way.

Finding #4: The CSS culture and lack of management action leads to a work environment that is not conducive to highly productive employees.

Many individuals reported an environment in which managers and supervisors retaliate, are punitive in their work assignments, publicly humiliate employees, and otherwise create a difficult work environment. For example, employees have reported:

- Managers who do not lead by example by not respecting work hours or rules themselves.
- Observing public humiliation (yelling, name-calling, and using foul language) of other employees (or being the target of such behavior).
- Not being allowed to attend training sessions or, in contradiction, not holding employees accountable for not attending training when it was mandatory.
- Not being allowed to or being discouraged from making internal lateral transfers.
- The transfer of poor performers and repeat perpetrators of alleged sexual harassment to other positions or locations, instead of being appropriately disciplined.

Finding #5: Organizational silos result in little synergy, communication, or teamwork between Department branches and functions.

Aging and Adult Services and Employment and Training embody the primary organizational and operational silos at the Department, despite some overlaps in functions. For example, CSS administers contracts in both branches, with the same requirements for RFP development and contract monitoring, and has employees with the same classifications (e.g.,

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CSAs) in both branches. Nevertheless, there are few shared services, such as contract management or information systems, that serve both. In addition, expertise is considered to be program-specific, with little recognition that CSAs may have a body of knowledge and experience that can be transferred between programs.

In general, the Administrative Services branch does not have a customer service orientation towards other Department functions and personnel. Such functions as Human Resources, Finance, and IT are not evaluated in terms of how they meet the needs of program personnel and consequently get mixed reviews from personnel in the other branches.

Although there have been numerous attempts at effective communication, they have not bridged the organization silos that exist within the Department and have not contributed to a climate that fosters teamwork.

Finding #6: Some CSS managers lack a fundamental understanding of budgets, fiduciary responsibility for grant funds, and grants administration.

The Department is responsible for administering millions of dollars of grant money on behalf of several federal and state agencies, including the Department of Labor, the Older Americans Act, the State Employment Development Department, among others. Compliance with the policies and regulations (e.g., allocation of personnel, reporting requirements, etc.) of the governing authority is fundamental to the responsible administration of grant dollars. Because CSS management has not developed or implemented consistently sound budgeting, accounting, or monitoring practices, the Department is potentially misusing grant funds.

For example, the AAA program submits an annual budget to the California Department of Aging detailing its plan for expenditures for the year. This budget includes details of personnel costs down to the actual staff performing the function identified by payroll item. However, CSS reportedly does not base its own departmental budgeting for the use of AAA funding based on this program budget. This means that CSS charges persons who have not been authorized by the funding source to the AAA grant and in addition, there are cases where staff are directly charged to the grant and also charged via indirect costs, a situation that DPSS has recently discovered in the GROW program.

Finding #7: Lack of comprehensive program management is institutionalized at CSS.

Although Department leadership has been consistently interested in providing effective services to clients, they did so in an environment that did not pay sufficient attention to the “other side” of program management – development and implementation of appropriate policies and procedures that encourage compliance with rules and regulations, provide guidance to staff, and ensure consistent approaches across branches and programs. Instead, managers may be complacent, have not been held accountable for poor management practices or decisions, or decline to address Department problems, including poor program monitoring and budget management, the potential misuse of grant funds, and unqualified staff at various levels of the organization.

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- There is a lack of knowledge and understanding of grants management and fiscal responsibility. For example, the definition of program income is not commonly understood within the Department, and OMB Circulars, which provide the appropriate definition, are not commonly used reference elements.
- The lack of leadership and accountability for contract development and monitoring has continued to occur despite being brought to management's attention by Department employees, whistle-blowing to the Board of Supervisors, and external audit findings (Grand Jury and Auditor-Controller). Although investigations into some of these allegations did not necessarily confirm whistle-blowers' specific concerns, the Department has been slow to make significant changes in program management practices. In other words, while the Department has recognized the importance of program monitoring and compliance, management has not taken sufficient steps to ensure adequate oversight.
- There is a general disregard for program regulations that has weakened Department morale. One result is that the AAA has been rated as a high-risk agency according to the California Department of Aging.
- The majority of funds received by this Department are federal and state grants, often via MOUs with other County departments. This lack of direct responsibility has developed into a culture that has led to poor management and ultimately a weakening of the programs administered.

Finding #8: Staff and management are demoralized by recent management and program problems that are often not fully resolved.

The Department has sustained several internal and external problems in the last few years, many of which are never fully publicly resolved, including the early retirement of the former Assistant Director of the Adult and Aging Services branch; the early retirement of the former Department Director; the sudden administrative leave of the Assistant Director of the Administrative Services branch; settlements related to employee discrimination grievances; and fraud and embezzlement committed by CBOs with CSS contracts. Due in part to issues of confidentiality and in part to poor internal communication, the lack of public resolution of these events contributes to low employee morale and the perception that many at the management level are involved in, or at the least aware of and doing nothing, inappropriate or illegal fiscal or personnel management.

Finding #9: Lack of effective contract monitoring is linked to lack of management and leadership, rather than to a shortcoming in the organizational structure.

The lack of effective contract monitoring in the Department is pervasive, and is not limited to a specific branch, division, program, or individual manager. Problems in one area have not necessarily served as opportunities for investigation or examination of similar functions in other divisions or programs. As a result, contract monitoring (until very recently) has not been addressed comprehensively. Even today, a task force organized to develop a centralized monitoring function is rejected by those from other organizational silos or with other management allegiances (as well as by the Auditor-Controller).

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Accountability for contract monitoring is not enforced at the supervisor, Program Manager, or Assistant Director level. At CSS, the entire chain of command is broken or the problems that have arisen would have been discovered within the Department or, at least, when found in one area, would have been reviewed in other areas.

Finding #10: Program effectiveness and quality are not Department priorities.

Most individuals interviewed judged program effectiveness in terms of the program manager over the program, instead of objective information regarding program outcomes and quality. Despite implementation of Performance Counts! performance measures, there are no stakeholder surveys to understand perceptions of program effectiveness from the clients' perspective. For example, there is no survey or outreach of cities involved in the WIB process to determine perceived effectiveness.

Finding #11: Personnel problems are ignored or tolerated.

Management has demonstrated more interest in placating problem employees and not providing discipline when necessary to ensure appropriate behavior. Although some senior managers may believe that ignoring existing County policies and procedures on personnel management issues will lead to a high level of morale, the opposite is true. Good employees are more interested in consistency and appropriate discipline than in expending effort in trying to win favor with current management. A lack of discipline in monitoring and ensuring compliance with work hours or work load, only leads to bitterness among other employees and a lack of respect for the managers who allow it.

Participants in confidential interviews reported that poor performance and inappropriate behavior (e.g., sexual harassment) are tolerated or ignored. While performance evaluations and MAPP plans are routinely completed, they are not used to manage personnel effectively. Some employees reported that if they are outspoken or question the status quo, they may be retaliated against. For example, individuals reported being:

- Passed over for promotion (for example, one person has been assigned an “acting” title four different times without ever having the opportunity to perform the function permanently.)
- Denied requests for transfers
- Given punitive assignments
- Denied required resources (e.g., training)
- Being blamed for actions for which they were not responsible

The lack of effective problem resolution and performance management are indicative of the lack of leadership and management within the organization.

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Finding #12: The process of preparing Board letters is not understood or followed in the Department.

Board letters are a primary means of communication, program and funding approval, and accountability between County departments and the Board of Supervisors. Nevertheless, CSS staff are not held accountable for appropriate and timely preparation of Board letters, despite previous training on methodology and access to previously approved Board letters to serve as templates. Board letters continue to be written in a manner that is not acceptable to the CAO. The impression is that each Board letter is a reinvention of the process and because they are not prepared in the approved format, they either get rejected or the CAO analyst has to rewrite them for the Department. The Department requested additional training of Board letter preparation from the CAO and County Counsel, only to have to cancel the training because only two CSS managers indicated that they would attend by the required deadline. (To be fair, another seven said they wanted the training but after the deadline had passed. The issue is not so much that people did not request the training, the issue is why the training was not mandatory, considering that the CAO analyst and others continue to have concerns about the quality of Board letters submitted.)

D. Strategic Planning

The 2003-2005 Strategic Plan is a high level, motivational document that is not strongly linked to day-to-day operations of the Department. In other words, it is not a “living” document that is actively used to guide decisions or operations. In general, planning within the Department is not the concern, the concern is what happens to the implementation of the plans.

Finding #13: The 2003-2005 Strategic Plan is motivational and visionary versus concrete and directive, and lacks clear accountability for plan implementation.

The 2003-2005 Strategic Plan, updated in June 2003 from the 2001-2003 Strategic Plan, is the result of a top-down planning process. Despite input from employees throughout the organization and several off-site planning sessions, the document is more motivational and visionary than clear, directive, or results-oriented. As such, strategic planning efforts have been wasted because management does not know how to bring about change.

While the Department’s goals are linked upwards to Countywide goals, there are no action plans or individual accountability for achievement of specific goals. The Strategic Plan is not a driving force within the Department management or work force. Furthermore, the Department has not developed effective practices to ensure that goals and objective are implemented effectively and efficiently. Furthermore, while assigned job duties may not be in conflict with strategic goals and priorities, no one interviewed mentioned the impact of the Strategic Plan on their jobs, or how their jobs contributed to achievement of the Strategic Plan.

For example, Goal 3.1.4A: *The effectiveness and efficiency of internal operations will be assessed* neither indicates how operations effectiveness and efficiency will be assessed nor identifies who is responsible for completing the assessment.

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Finding #14: Planning is used to “buy time” to resolve difficult situations.

While CSS has demonstrated abilities in planning, actual change resulting from planning is insufficient. It appears that management develops plans to buy time to get out of bad situations or trouble with the Board of Supervisors or other regulators. Implementation is problematic, however, because:

- Plans are over-ambitious and not realistic.
- There is no coordination with other existing plans that might be trying to achieve the same goal.
- Plans are usually managed by someone who has no direct contact with affected programs.

Finding #15: The programs and services listed in the Strategic Plan differ from those in the approved budget and other documents reviewed during this audit.

The thirty programs and services listed in the Strategic Plan do not match those listed in other documents provided during the course of the audit, reflecting the difficulty this Department has in knowing the specifics of its day-to-day operations. (To be fair, sometimes this is simply a matter of calling the same program by different names, or by listing sub-programs instead of the overall program.)

Finding #16: Administrative processes do not link strategies to operations.

The Department has not developed effective practices to ensure it carries out goals and objectives effectively and efficiently. Although planning is done for most issues, the breakdown occurs because of the cultural lack of accountability when it is time for implementation. For example:

- Despite establishing numerous performance outcomes as a Performance Counts! pilot, feedback and performance management are insufficient to link processes to measurements.
- The contract management process, from RFP solicitation through monthly performance measurement and reporting of contract requirements, is ineffective.
- Monitoring is viewed as an organizational responsibility, rather than an individual supervisory accountability. This leads to a lack of effective monitoring within the Department at all levels.
- Management, for the most part, has delegated accountability to levels in the organization that are inappropriate – staff may have responsibility but lack authority or expertise – resulting in a lack of ownership and accountability for program performance.

E. Organizational Structure

The Department's current organizational structure has several problems that hamper the ability to serve eligible County residents effectively.

Finding #17: The Department lacks an accurate organizational chart.

The Department does not have a comprehensive, up-to-date, accurate organizational chart or count of Full Time Equivalent (FTE) employees. The most current organization chart, dated March 31, 2004, does not accurately reflect the reporting relationships, number of FTE, or current vacancies:

- The numbers of FTEs on organizational charts of branches and divisions provided during the study do not match the rosters of employees provided. (Exhibit 15)
- Names of division and sections within branches on organizational charts do not match division and section names on employee rosters. (Exhibit 16)

Exhibit #15: Comparison of FTE Data Sources

	(a) 2/11/04 Org Chart	(b) 3/18/04 Staff Analysis	(c) 4/5/04 Budgeted Position Item Control	(d) Branch/Division Org Chart
Administrative Services Branch				
General Accounting/Procurement	25.0 FTE	14.0 FTE 4.5 temp FTE	AMS2: 37.0 FTE	20 FTE
Program Accounting	21.0 FTE	7.7 FTE 1.0 temp FTE		21 FTE
Internal Support Services	7.0 FTE	10.0 FTE	AMS5: 9.0 FTE	7.0 FTE
Aging and Adult Services Branch				
Community Services	20.0 FTE	23.05	ET08: 21.0 FTE	22.0 FTE
Grants Coordination Office	5.0 FTE	2.0 FTE	CSS1:1.0 FTE	n/a
Employment and Training Branch				
WIB Support	3.0 FTE	2.0 FTE 1.0 temp FTE	ETAD: 2.0 FTE	2.0
WIA Youth/MIS	12.0 FTE	11.15 FTE	ET04: 12.0 FTE	18.0 FTE
Refugee/GROW	19.0 FTE	11.6 FTE 7.1 temp FTE	ET05: 11.5 FTE	18.0 FTE and 12.0 FTE 2.0 temp FTE*

Legend

- Column (a): CSS 2/11/04 Organizational Chart
- Column (b): 3/18/04 2003-04 Est. Actual Staff Analysis Summary and Details
- Column (c): CSS Alphabetical Budgeted Position Item Control, count by Pay Location, dated 4/5/04
- Column (d): Branch/division org charts provided in response to Information Document Request #2
- * From email sent in response to request for current staffing level

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Exhibit #16: Differences in Program/Function Names and Listings

3/18/04 2003-04 Est. Actual Staff Analysis Summary and Details	Branch/Division Org Chart
Aging & Adult Services /APS	Aging & Adult Services/APS
<ul style="list-style-type: none"> ▪ APS Administrative ▪ APS ICM Contracts ▪ APS ICM Planning ▪ APS Information & Assistance ▪ APS Program 	<ul style="list-style-type: none"> ▪ APS Protective Services ▪ APS Planning and Resource Development/Monitoring Legislation Media Campaign ▪ Special Operations Unit ▪ APS Field Operations ▪ North County Field Operations ▪ South County Field Operations
Administrative Services/Human Resources	Administrative Services/Human Resources
<ul style="list-style-type: none"> ▪ Human Resources (includes Training which reports directly to the Ass't Director on the branch org chart) 	<ul style="list-style-type: none"> ▪ Human Resources ▪ Employee Relations ▪ Exams/Recruitment ▪ Operations/Benefits

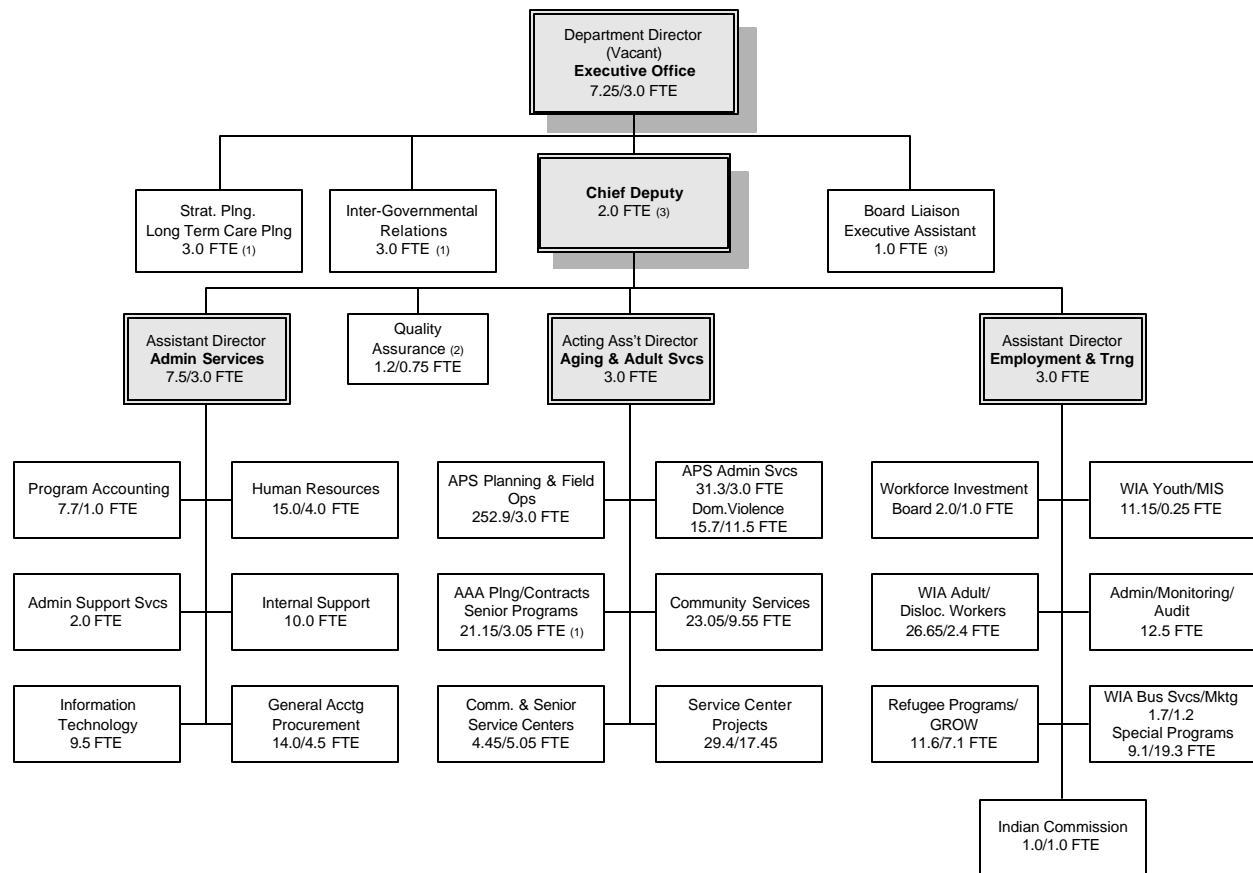
A relatively accurate¹⁰ organization chart, based on information collected during the interview process, is presented in Exhibit 17 on the next page.

¹⁰ blueCONSULTING's count of employees and assignments may still be inaccurate due to the conflicting information provided.

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Exhibit #17: CSS Organizational Chart

Source: 2003-04 Estimated Actual Staff Analysis Summary and Details, 3/18/04



501.5 budgeted filled FTE/98.1 temp FTE

- (1) Charged to Exec Office
- (2) Charged to different functions, including WIA Adult, Refugee/GROW, Senior Programs, Community Services, and Quality Assurance
- (3) Included in Exec Office

Finding #18: The current division of functions by branch does not effectively reflect programs, services, or target client populations.

The historical division of functions by branch (adult- and senior-related versus employment and training programs and services) does not accurately reflect programs and services actually provided. For example, programs funded by Community Services Block Grants (CSBG) are managed by the Community Services division in Adult and Aging Services, while another CSBG program, the Native American Indian Commission, is a one-person division in Employment and Training.

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- Contract monitoring is staffed differently in each branch, resulting in a lack of consistent monitoring practices and procedures.
- Direct services and contracted services are not separated by branch, each of which requires a different kind of management focus and expertise.
- Human resources functions are divided between two divisions in the Administrative Services branch to accommodate the temporary placement of the program manager over the Aging and Adult Services branch. While the majority of human resources functions are directed by the Personnel Officer II in the Human Resources division, employee relations and training are under a CSA III who is the acting Division Chief over Administrative Support Services.
- Information Technology is both centralized and decentralized, without appropriate matrix reporting relationships to integrate and coordinate data.
- The individual responsible for all Employment and Training data reporting and branch information technology reports to a program manager over WIA Youth programs.

Readiness for Future Department Needs

Two indicators of readiness for future Department operations are the rate and reasons for employee turnover and the loss of institutional knowledge and expertise due to expected retirements. While 149 employees have left CSS over the last three years, and 62 individuals can be expected to retire soon due to more than 30 years in County service, neither of these factors present a significant impact on the Department's future operations.

Exhibit #18: Turnover January 2001 through March 2004

Position	Number	Percent of Total Turnover
Management/Supervisory		
Social Services Supervisor	2	1%
Information Systems Supervisor I	1	1%
Supervising Administrative Assistant III	1	1%
Human Services Administrator I	1	1%
Human Services Administrator III	1	1%
Community Center Director I	2	1%
Community Center Director II	1	1%
Project Supervisor	5	3%
Program Manager	4	3%
Assistant Director	2	1%
Director	1	1%
Professional/Technical		
Student Professional Worker (temporary worker)	22	15%
Student Worker (temporary worker)	24	16%
Social Worker Trainee	4	3%
Social Worker	25	17%
Accountant III	1	1%
Community Center Specialist I	1	1%
Community Services Analyst Aide	2	1%

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Exhibit #18: Turnover January 2001 through March 2004

Position	Number	Percent of Total Turnover
Community Services Analyst I	5	3%
Community Services Analyst II	10	7%
Community Services Analyst III	10	7%
Member, Commission on Aging	5	3%
Neighborhood Worker, Sr Citizens, NC	2	1%
Accounting Technical II	2	1%
Accounting Clerk II	1	1%
Clerical/Administrative		
Computer System Operator	1	1%
Intermediate Clerk	1	1%
Senior Clerk	2	1%
Intermediate Typist Clerk	5	3%
Senior Secretary II	1	1%
Special Services Assistant I	1	1%
Management Secretary II	1	1%
Management Secretary III	2	1%
Total	149	100%

Exhibit #19: Expected Retirements

Position	Number	Percent of Total
Management/Supervisory		
Social Services Supervisor	1	2%
Project Supervisor	8	13%
Human Services Administrator I	4	6%
Human Services Administrator II	1	2%
Human Services Administrator III	1	2%
Community Center Director I	3	5%
Community Center Director II	2	3%
Program Manager	5	8%
Assistant Director	2	3%
Professional/Technical Positions		
Social Worker	4	6%
Community Services Analyst II	15	24%
Community Services Analyst III	1	2%
Community Center Specialist II	1	2%
Information Systems Support Analyst I	1	2%
Information Systems Supervisor II	1	2%
Senior Departmental Personnel Technician	1	2%
Accountant III	1	2%
Accounting Officer II	2	3%
Clerical/Administrative Positions		
Intermediate Typist Clerk	1	2%
Supervising Typist Clerk	1	2%
Secretary II	1	2%
Senior Secretary II	1	2%
Procurement Assistant II	1	2%

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Exhibit #19: Expected Retirements

Position	Number	Percent of Total
Management Secretary III	1	2%
Executive Secretary III	1	2%
Supervising Administrative Assistant II	1	2%
Total	62	100%

F. Management and Staff Qualifications

The Department is staffed predominantly by long-term employees, with a number of relatively new hires in management positions. Findings in this section are based on Information Document Request-5, the results of confidential interviews, and CWTAPPS and other records provided by the Department. Many trained and qualified staff work at CSS and perform their assigned duties. A number of individuals, however, may lack the expertise or experience to perform the jobs to which they are currently assigned.

Finding #19: Lack of comprehensive training and inappropriate assignments have resulted in unqualified personnel in some positions.

Many long term staff who started out in clerical positions have transitioned into more professional and administrative positions without the proper background (educational, experience, training and knowledge) to perform at the higher level. CSS management has rewarded people for being excellent clerks, assistants, and secretaries with promotions to positions that require technical, analytic, and management and supervisory skills they do not have. Additionally, the Department has not required additional training to assist these people in their functions. Ultimately, management has lowered the standards and expectations of higher level positions based on how people perform and not on what the job requires.

Interview participants reported having to cope with both long-term employees and more recent hires who lack basic job skills.

- Numerous staff have poor written communication skills
- Program monitoring staff lack the ability to interpret or manage their program budgets
- New and recently hired social workers lack the ability to write cohesive field reports
- Mid-level analysts do not have a formal understanding of their roles and responsibilities

Finding #20: Managers and supervisors throughout the Department lack such “strong manager” attributes as leadership, effective communication and interpersonal skills, appropriate delegation, and accountability.

A review of resumes and confidential interview notes reveals that while most individuals in management positions at CSS have adequate technical background and expertise (with a few exceptions) to perform as managers in their current positions, many are not perceived as good managers:

- Several individuals in management are considered to be poor managers because they do one or more of the following:

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- ⇒ Humiliate their staff
- ⇒ Make unreasonable demands
- ⇒ Impede effective communication
- ⇒ Take no action when problems are reported
- ⇒ Commit fraud or permit fraud to be committed
- Distrust of hiring and promotion practices contributes to employees' perceptions that the "right" people are not in management and supervisory positions.
- One Assistant Director has no expertise in the assigned position.
- One Assistant Director has limited expertise in several critical functions that is not compensated for by expertise in other areas.
- One Program Manager had no management or supervisory experience prior to being promoted to the current position and had no program-specific expertise.

The lack of recent direct experience is exacerbated by the lack of communication and teamwork between different areas of expertise – Aging versus Employment and Training, for example. Although individuals at the level of Assistant Director should have the management depth and experience to make lateral moves from one branch to another, especially after many years in the County and with the same Department, the impact of branch silos effectively undermines confidence in managers' abilities throughout the organization.

G. Communication

blueCONSULTING reviewed communication at CSS from two perspectives:

Internal Communication

The office of the Chief Deputy has recently initiated an ongoing Executive Summary of issues that is regularly updated and distributed to Department managers. A preliminary draft of an Internal Communication Plan, prepared in the last quarter of 2003, describes the steps required to develop a formal Internal Communication Plan, including an employee survey and implementation of a completed plan, but stops short of describing a proposed schedule of meetings, attendance requirements, etc. There is no indication in the document provided if action steps have been completed by the target dates (ranging from September 2003 through August 2004).

Although these are positive steps toward improving communication at CSS, they have not bridged the organization silos that exist within the Department and have not yet contributed to a climate that fosters teamwork.

Finding #21: General staff meetings are not routinely conducted.

With some recent exceptions, managers do not meet with their staff on a routine basis. Some managers have claimed to conduct routine staff meetings, but these accounts have been contradicted by employees in subsequent confidential interviews. Additionally, there are few

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opportunities for cross-branch interaction among similar functions, such as program managers or monitors.

Finding #22: Many do not attend mandatory meetings.

Interview participants reported that a number of employees and managers are routinely absent from mandatory meetings and that there are no consequences for missing a mandatory meeting.

Finding #23: Lack of email for many staff at remote locations thwarts use of the Department intranet for Department-wide communication.

Because many staff do not have access to the intranet or internet at their workstations at field offices and service centers, they cannot easily communicate with each other or receive broadcast email regarding Department-wide issues (e.g., meeting announcements, new policies, etc.).

Participation in External Meetings

In response to our information data request¹¹, we received several lists describing formal and informal communications at CSS. CSS staff participate in numerous meetings, as Department representatives on multi-department committees and task forces, as staff to councils, commissions, and related committees, and at periodic conferences. Altogether, CSS managers reported they or their staff participate in more than 90 meetings. (Note: Each manager reported their data in a somewhat different format, so there may be some overlap).

Finding #24: There are numerous commissions and committees that require substantial time and energy from CSS personnel.

Because many of these assignments do not necessarily have clear objectives linked to the Department's mission, time spent preparing for and attending meetings may detract from time spent on assigned job duties. These commissions include the Los Angeles County Commission on Aging (LACCOA), Area Agency on Aging Council, Community Action Board, Los Angeles City/County Native American Indian Commission, Self Governance Board, Workforce Investment Board, and Domestic Violence Council. Appendix D describes the purpose of the major committees and councils and discusses their accomplishments within the last twelve months, identifies the Program Manager and Support Personnel for each, identifies the work performed by support staff, estimates the amount of time spent on each per month and provides the additional costs for each committee, if any. Assistant Directors and program managers estimated the number of hours their staff contribute to committees and task forces each year. The hours and FTE (number of hours divided by 2,080 hours per year) are identified below.

¹¹ Information Data Request-3

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Exhibit #20: Staff Time Dedicated to Committees and Task Forces

Committee/Task Force	Hours per Year	FTE
Workforce Investment Board	5,789-5,909	2.78-2.84
▪ Business Services Marketing Committee	1,500	0.72
▪ Certification/Recertification Committee	960-1,080	0.46-0.52
▪ Executive Committee	360	0.17
▪ Fast Track Approval Committee	360	0.17
▪ Legislative Action Committee	384	0.18
▪ Mature Worker Council	700	0.34
▪ Financing and Quality Improvement Committee	860	0.41
▪ Financing and Quality Improvement Committee— Workforce Development Task Force	650	0.31
▪ Financing and Quality Improvement Committee— Asian Pacific Islander Task Force	15	0.01
Youth Council	3,360	1.62
AAA Advisory Council and Los Angeles County Commission on Aging (LACCOA)	1,168-2,212	0.56-1.06
▪ Annual Meeting of the AAA Council	120-160	0.06-0.08
▪ Communication and Intergenerational Task Force	48-96	0.02-0.05
▪ Elder Abuse and Fraud Committee (APS, AAA Council and LACCOA)	24-36	0.01-0.02
▪ Employment Transportation Committee	48-96	0.02-0.05
▪ Housing Committee	60-168	0.03-0.08
▪ Legislative and Advocacy Committee	48-96	0.02-0.05
▪ Membership Outreach Committee	48-96	0.02-0.05
▪ AAA Council Nominating Committee	120-160	0.06-0.08
▪ Older Woman's Issues Committee	160-256	0.08-0.12
▪ Speakers Bureau (AAA Council and LACCOA)	48-96	0.02-0.05
▪ LACCOA Annual Meeting	120-160	0.06-0.08
▪ Finance Committee	96-192	0.05-0.09
▪ Geriatrics Task Force	12-48	0.01-0.02
▪ Link Newsletter and Website	96-192	0.05-0.09
▪ Transportation Committee	48-96	0.02-0.05
▪ Health and Long-Term Care Committee	48-72	0.02-0.03
Domestic Violence Council and Community Services Resources Corporation	4,248	2.04
▪ L.A. County Domestic Violence Council	4,080	1.96
▪ Community Services Resource Corporation	168	0.08
▪ APS Commissions, Councils, and Inter-Departmental Task Forces (e.g., Residential Care Safety Task Force, Financial Abuse Specialist Team)	2,664	1.28

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Finding #25: Commission and council activities may not contribute meaningfully to CSS operations.

As discussed above, CSS staff spend a substantial time attending commission and council meetings, conducting research, and providing support to committees. However, a number of commission and council members believe that, the quantity of CSS staff time notwithstanding, the commissions and councils actually contribute very little in terms of decision-making, policy development, or making an impact on aging or other issues. With the exception of WIB and CAB members, who actually determine funding allocations, other members feel they may be satisfying legislative mandates but doing little else to contribute.

H. Fiscal and Contract Management

There is inadequate fiscal management at CSS at several levels.

Finding #26: Inadequate fiscal policies have resulted in ineffective allocation of resources and left the Department vulnerable to perceived or actual abuse.

The Department has inadequate fiscal practices, policies, and procedures that result in ineffective allocation of resources, difficulty in managing budgets, and the lack of fiscal monitoring of CSS-administered contracts. Furthermore, there is actual and anecdotal evidence that funds have not been appropriately allocated or accounted for. Fiscal mismanagement has occurred over a long period of time and reflects:

- **Lack of management oversight.** Combined with a cultural bias for “looking the other way,” this has contributed to poor record-keeping as well as fiscal abuses. Several interview participants reported that past or current managers would ignore or not follow up on reports of fiscal mismanagement.
- **Lack of leadership and accountability for fiscal management.** No one at the Department, from the Director through Program Managers, has been held accountable for appropriate budget management and oversight. This has tended to promote the Department-wide perception that neither fiscal program monitoring nor budget management are high priorities. In fact, although responsibility for fiscal issues is clearly stated in the job requirements, most program managers and supervisors have not had adequate communication with the fiscal section to determine fiscal status or projections.
- **Lack of expertise.** It is possible that Department managers lack the fiscal management expertise and experience to manage their budgets or exercise appropriate fiscal control over their areas.
- **Fiscal problems.** The Department retained an outside accounting firm, KOG, Inc., to evaluate specific types of fiscal practices in WIA, the budgeting and accounting section, and the Employment and Training fiscal accounting and budgeting accounting section. The Department neither informed the Auditor-Controller of these audits, nor shared the three resulting reports (presented in Appendix F).

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The summary of recommendations from the first audit¹² listed below illustrates the extent of fiscal and program monitoring policies and procedures.

Exhibit #21: Summary of February 2003 Audit Recommendations

- Establish a single accounting system, which provides data allowing monitors and program administrators to make informed decisions
- Develop a flowchart of a process for receipt, review, approval and payment of invoices
- Develop obligation, expenditure and cash control registers
- Establish a tracking system and procedure for treatment of carryover funds
- Develop a procedure for reviewing costs to ensure proper classification (of costs)
- Establish procedures and policies for disbursement of cash that assures proper internal controls
- Establish internal controls for processing of all refunds
- Develop a reporting handbook for required reports
- Establish a process for review and approval of vendor and subcontractor invoices including a checklist
- Establish a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis
- Establish a process for periodic reconciliation of expenditures claimed by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting systems to CAPS
- Develop a process for identifying contractors who will no longer be funded and procedures for closing out contracts
- Establish a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies
- Develop procedures for writing monitoring reports and resolution of findings
- Establish a tracking system to identify contractor audit requirements and resolution
- Establish a system for debt collection that assures the proper disposition (reprogramming or refund to State) of disallowed costs
- Provide staff training in such areas as proper classification of costs, internal accounting processes and procedures, fiscal policies, oversight, audit determination and resolution of debts, fraud and abuse

The summary of audit findings from the second audit¹³ presented below demonstrates the Department's lack of appropriate budgeting policies, procedures, and practices.

Exhibit #22: Summary of July 2003 Audit Findings

- The budget is not used to promote study, research and a focus on the future
- The budget does not appear to provide a basis for evaluating performance
- The budget does not appear to be a source of motivation
- Budgeting does not appear to be a means for coordinating grant activities
- Budgeting is not a means of communicating plans and instructions
- The annual budget does not reflect program objectives
- Departmental indirect costs are not constructed in an allowable manner
- The Department's administrative costs are not distributed in accordance with an allowable methodology
- The organization of the One-Stop System may cause the CSSD to misclassify administrative and program costs reported to the State of California

The follow-up audit conducted in March 2004 reports on the status of implementation of the two previous audit recommendations. CSS prepared a response to the findings in this audit.

¹² KOG Associated Final Report on Evaluation of the Current WIA Fiscal System (February 27, 2003)

¹³ KOG Associates Inc. Final Report on Evaluation of Budgeting Accounting Section (July 24, 2003)

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Please note: blueCONSULTING did not review each audit finding to determine the extent to which recommended changes were implemented.

Copies of these audits, and the CSS response to the third audit, are presented in Appendix F.

Finding #27: Monitoring functions are decentralized within the Department, although there has been a recent attempt to centralize certain functions both within branches and the Department.

- The monitoring/audit function for Employment and Training has recently been centralized under one Program Manager and numerous staff provided to conduct Employment and Training program monitoring.
- Monitoring for the APS program is provided in the Domestic Violence Programs/Council Unit under the management of a CSA III acting as a Project Supervisor.
- Monitoring for the AAA function is under the AAA Planning and Contracts section, which has about ten direct reports. This group processes contracts for approximately 50 contract agencies that provide such services as nutrition, home delivered meals, legal services, etc.
- The Department recently established a Quality Assurance Section reporting to the Chief Deputy. The purpose of this group is to provide some consistency among the various monitoring functions and to establish protocols for ensuring that monitoring is, in fact, performed within the various sections. This section also prepared a Contract Compliance Book to provide generic standards of operation of the various monitoring sections.

Finding #28: Ineffective contract monitoring at CSS reflects a lack of accountability and supervision, rather than an inappropriate organizational structure, span of control, or chain of command.

Although it has always been the direct responsibility of the program managers and the monitors in their division, it was only recently that invoices had to be approved by program personnel before payments could be processed. Before this recent change, invoices were paid without review of whether the work had actually been performed.

- Recent directives from Program Accounting (December 2003 and March 2004) have advised the E&T and APS/AAA Assistant Directors about invoice processing procedures. As stated in the March fiscal policy, *“Part of the Department’s current practice requires program staff to forward a copy of the Board-approved signed contracts and supporting exhibits, i.e. budgets worksheets, to Program Accounting (PA). This documentation is required prior to processing any vendor Requests for Cash. However, the standard terms and conditions require agencies to submit all relevant/required documents, such as insurance and certifications, etc. to the E&T Contracts Unit or the Aging Branch. Any failure to submit required documents does not constitute a fully executed and complete contract... This policy/procedure achieves the goals of ensuring that for administrative and audit purposes, verification that the contract is fully and completely executed and serves as notification to Accounting staff that payments are authorized.”*

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- Attached to that policy was a Required Documents Checklist to be signed by the Program Manager. On that checklist were several required documents including Certifications such as Drug Free Workplace, Lobbying, Vendor's EEO Certification, Debarment and Jury Service Certification. Also included are required insurance documents and endorsements such as general liability certificate, automotive liability certificate, crime certificate, additional insured policy endorsement page, workers' compensation, professional liability, and property insurance certificate.

The primary issue is who should be responsible for ensuring that these contract documents are requested, accumulated and audited. This responsibility is better accomplished in a centralized function that is tied in with the Program Accounting function, leaving the program management function to the responsible program managers.

Finding #29: Recently (January 2004), three program managers and two project supervisors met to draft a plan for centralizing Contracting and Monitoring into one unit, but that plan has not been fully implemented.

The suggestion of the managers was to immediately implement a Centralized Contract Compliance Branch. The following functions were recommended to be included in the new branch:

- **Contracts/MOUs** including standard terms and conditions, negotiation, statement of work, budgets, cost allocation plans, supplemental documents, annual close out, recovery of funds, and training.
- **Monitoring** including on-site fiscal and program monitoring, fiscal risk assessment, line item review, comparison of budget to cost allocation—budget to actual, quality of service assessment, desk reviews of performance data to invoices, invoice to services rendered to participant file comparison, participant calls to verify services rendered, outcome and performance measurement, resolution of questioned costs, recovery of disallowed costs, and corrective action plans.
- **Audit** including single audit receipt and resolution, program audit based on moderate/high risk assessment, quarterly validation contractor costs—review to general ledger, reconciliation of expenditures/assets (inventory)—audit to grant budget, program income, resolution of questioned costs, recovery of disallowed costs.
- **Incident Reporting** including initial reporting to appropriate and governmental parties, follow-up on allegations, status updates to appropriate parties, assisting authorities in investigation, and final resolution of incident report.
- **Probation/Suspension/Termination/Waivers** including probation and sanctions, suspension based on non-compliance, termination of contractor across programs/grants, assistance in transition of program to other contractors, and seizure of grant assets (i.e. equipment, bank accounts).

Additionally, the group recommended that the recommendations included in the evaluation conducted by an external firm (KOG, Inc.) on the WIA Fiscal System, dated February, 2003 (and attached to this report as Appendix F), be immediately implemented Department-wide. This evaluation identified the internal control weaknesses in the administration of

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Department grant funds, (i.e. accounting systems, cost allocation methodologies, internal controls, direct and indirect charging, and budget).

Finding #30: The cost allocation method utilized by the Department was inappropriate and has only recently been modified.

As discussed in the KOG, Inc. audit (see Appendix F), CSS continues to utilize an inappropriate method allocating administrative costs to CSS programs. Typically, administrative costs are charged to programs or organizational units based on the payroll or other measure of the program or unit size. In contrast, CSS allocates 50% of administrative costs based on size, and the other 50% based on actual monthly program expenditures. In this way, a relatively small program or unit can be charged significantly more than a larger program or unit simply by having more expenditures in a given month. This causes an unfair burden on smaller programs and units, while unfairly benefiting programs or units with minimal expenditures.

Finding #31: Some personnel may be inappropriately charged to programs to which they are not assigned.

As described in Finding #6 above, a number of interview participants believe that various employees are charged to programs to which they are not assigned or do not contribute. From a fiscal perspective, this makes it difficult to ascertain true program costs and may indicate an inappropriate or disallowed use of program funds (e.g., for non-program personnel) to support other programs.

I. Information Technology

Finding #32: Existing technology opportunities are not adequately utilized.

The IT staff have not worked well with other IT functional staff (such as APS personnel) to accomplish various goals, and the lack of automation within the Department causes an overall inefficiency in operations. In spite of recent attempts to correct the deficiency, APS employees are still hand-writing reports. Automation of the APS forms began several years ago but is just now entering the testing phase. Although they are trying hard and are committed to the project, personnel who have been assigned the responsibility for automation are not sufficiently trained or have the correct background to accomplish the automation in a cost effective manner. This is not the employees' failure but a failure of management.

Finding #33: Information technology resources and training are not equitably distributed throughout the Department.

- Some groups of employees have laptop computers, but have not received training on how to use them to increase their productivity.
- Many employees do not have access to either the CSS intranet nor the internet.

Once resources are more equitably distributed, training on how best to use the systems to allow employees to do their jobs more effectively and efficiently, and training on the proper and approved usage of the internet will be essential.

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Finding #34: IT projects for AAA and APS have not been completed on a timely basis and it is difficult to understand the current status of any attempt at IT enhancements based on information provided in the various service requests.

Previously identified projects are not completed on a timely basis. For example, according to the Grand Jury Investigation in 2002:

“CSS has contracted with the County’s Information Technology Service (ITS) in the Internal Services Department (ISD) to develop a comprehensive (IT) System. The system is in its early design stages and is expected to be implemented by 2004. According to CSS, the new system will be updated daily, web-based, Windows application, CSS-LAN connected, Internet available, user-friendly, centralized, and comprehensive; it will track:

- *CSS clients by programs so CSS can identify what services clients are receiving at any given time*
- *Data for the generation of reports, including performance measurements and outcomes,*
- *Contractor expenditures as CBOs submit performance data.*

An added benefit is that the system will link the CSS branches into one automated system (currently APS and AAA have different computer systems).”

Although these are appropriate goals, to date, there is no integrated case information management system within APS and all of the above desired goals have yet to be realized. This deficiency results in having to enter the same data over and over again through all the required forms. There is no retrieval capacity and no assistance in entering new data. There is constant talk from management about adopting a computerized information database system, but after years of effort and large expense, no system is operational. Substantial dollars have been authorized for Internal Services Department and outside vendors to assist in the various automation programs within APS/AAA over the last several years. Progress on these expenditures is not clear and the focus needs to be reconsidered. As shown in Exhibit 23, there have been at least eight service requests for various IT projects since September 2002 for a total of more than \$1.6 million. It is difficult to determine the exact purpose of some of these expenditures based on the description of work required.

Furthermore, the computers provided to APS field staff are not useful for case data entry and storage. Personnel are not connected to the internet and County intranet. Internet access is a desirable element of social work services, including professional research, continuing education, and professional development. Email is also an essential element of effective APS social work practice, but most social workers do not have access, although there are long standing plans to increase access. Existing computers are stand-alone and disconnected. Even where forms are available for use, social workers are not required to use the on-line forms. Several people mentioned that the provision of lap tops for social workers has not been an effective expenditure.

For example, the process of assigning a social worker to a case from the VIP section includes the following steps:

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- The work request is faxed to the field social worker
- The social worker sees the client and prepares an initial report, usually hand-written.
- The social worker calls the VIP section and leaves a voice message about the status of the case
- The social worker faxes the handwritten report to the VIP section.
- A clerk in the VIP section transcribe the voice mail and puts it in the client file.

This process could be simplified, shortened, and be less subject to error if the social worker had completed a on-line case report form and emailed the results to the VIP section.

**Exhibit #23: Expenditures for ISD Assistance for APS Automation
September 2002-December 2003**

Fiscal Year	Date of Request	Job	Description of Work Requested	Authorized Amount
2002/2003	9/12/02	Area Agency on Aging Program Automation (AAAPA)-Hardware and Software Procurement	Request that ISD/ITS provide AAAPA System Hardware and Software required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS' AAAPA project.	\$104,206.52
2002/2003	9/16/02	AAA—Technical Support & Maintenance of Existing AAA System	Request that ISD/ITS provide on-going technical support and maintenance for the existing AAA (PC Focus) System during the implementation of the new AAAPA application as specified on the submitted Project Control Document for CSS's AAA project.	\$126,336.00
2002/2003	9/17/02	AAA System Development	Request ISD/ITS provide System Development services required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS's AAAPA project.	\$391,600.00
2002/2003	4/7/03	AAA System Development	Request ISD/ITS provide system development services required for the implementation of the AAA application as specified on the submitted Project Control Document for CSS's AAAPA project.	\$180,120.00
2002/2003	4/7/03	AAAPA -Hardware and Software	Requesting an increase of \$81,824.55 for development hardware.	\$81,824.55
2003/2004	12/18/03	AAA Technical Support and Maintenance of Existing AAA System	Request that ISD/ITS provide on-going technical support and maintenance for the existing AAA (PC Focus) System during the implementation of the new AAAPA application.	\$154,860.00

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**Exhibit #23: Expenditures for ISD Assistance for APS Automation
September 2002-December 2003**

Fiscal Year	Date of Request	Job	Description of Work Requested	Authorized Amount
2003/2004	12/18/03	AAAPA-hardware and Software	Provide AAAPA System hardware and software required for the implementation of the AAA application for AAAPA.	\$75,000.00
2003/2004	12/18/03	AAAPA/System Development	Provide System Development services required fro the implementation of the AAA application for the AAAPA project.	\$508,080.00

Finding #35: Centralized and decentralized information technology functions are not well integrated.

Because there is not a Department-wide IT strategy, technology resources and expertise may not be optimally allocated.

- WIA MIS reports to a Program Manager with no technology expertise.
- The individual responsible for IT in APS has virtually no interaction with the IT division in the Administrative Services branch.

J. Human Resources Policies and Procedures

Human resources practices, policies, and procedures have been inconsistently communicated and implemented at the Department. Many individuals at all organizational levels have reported inappropriate implementation of out-of-class bonus payments, promotion, transfer, or disciplinary policies.

Finding #36: The personnel management processes are perceived as perhaps the largest problem confronting the Department.

This organization is, hopefully, one of the last within the County family to understand that individual performance is more important than interpersonal relationships when considering personnel for promotions and performance reviews. There were numerous allegations of “you scratch my back and I will scratch yours” in the promotion process, rather than reviewing an individual’s background and qualifications. There were even allegations of changing test answers to ensure that specific individuals received promotions. This has led to a situation where some managers in positions of authority are ill prepared for their promotions and, unfortunately, even those who are appropriately promoted and who deserve the promotions, are viewed skeptically.

- There are numerous and substantial concerns that management has promoted personnel based on personal relationships and not based on objective evaluation of personal performance and needs of the organization. This, in turn, has lead to low morale within most levels of the organization.
- Perception that management uses the “acting” title to ensure that preferred personnel obtain future promotions.

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- Poor performance is not dealt with and good performance is not rewarded. In fact, the good performers are given more and more work to do while poor performers are left alone. In the long run this will lead to even greater morale and work performance issues.
- Management is not consistent in applying discipline for routine issues such as showing up for work on time or attending mandatory meetings. Again, the lack of discipline leads to a feeling of “why should I follow the rules if no one else does and they get away with it?”

Staffing and Span of Control

Finding #37: Excessive use of out-of-class and acting nomenclature and the inconsistent payment of out-of-class bonuses indicate an inappropriate and inconsistent application of human resources policies.

It is difficult to evaluate the actual number of organizational levels and spans of control because the Department excessively uses “out-of-class” and “acting” nomenclature. For example, one individual who is a CSA II is being paid out-of-class as a CSA III but is also acting as a Project Supervisor. Spans of control vary from very small (one or two people) to seven or more people. Number of levels is also difficult to evaluate due to overlapping responsibilities of job titles such as CSA I, CSA II, CSA III, and Project Supervisor. This entire area would benefit from a more in-depth review.

According to a report generated by CSS Human Resources on April 5, 2004 from the CWTAPPS system, CSS has 647.5 budgeted FTEs, of which 530.5 or 82% are currently filled (553 individuals, including temporary and part-time employees).

Based on the April 5, 2004 report:

- 395.5 FTE (75%) are filled by individuals in budgeted positions
- 120.5 FTE (23%) are filled by individuals at lower levels working out of class
- Only 49 FTE (41%) of those working out of class receive the out-of-class bonus, including:
 - ⇒ 100% of social workers
 - ⇒ Two of 24 (8%) CSA IIs
 - ⇒ Six of 12 (50%) in fiscal and accounting positions
 - ⇒ One of four (25%) in information technology positions
- All individuals reporting to an Assistant Director are called Program Managers (who are not necessarily actually managing a program), whether they have similar levels of expertise, responsibilities, or scope of work or are working out of class:
 - ⇒ Personnel Officer II
 - ⇒ Information Systems Manager I
 - ⇒ Fiscal Officer I
 - ⇒ Project Supervisor
 - ⇒ Executive Assistant

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Hiring and Promotions

Individuals at all organizational levels reported problems with hiring and promotion practices at CSS.

Finding #38: The wide spread lack of accountability at CSS as well as poor resolution of personnel problems contributes to perceptions that hiring and promotion decision are based on factors other than qualifications.

In confidential interviews and letters, some employees stated that they were not promoted due to racism or favoritism. Others feel that employees complain about racism and favoritism because they believe their longevity entitles them to promotion regardless of their (lack of) skill, experience, or expertise. In other words, available data do not indicate whether promotions are based on racial or other factors, but the perception of racism and favoritism is created by unskilled managers who do not communicate adequately or realistically to their staff regarding promotion opportunities and who may continue to give good performance evaluations.

Finding #39: A hiring and promotion audit¹⁴ conducted the DHR in 2002 revealed numerous infractions of County hiring policies and procedures.

Audit findings indicated many cases in which information was missing, incorrectly stated, or not appropriately filed. While these problems may have had a minimal impact on actual hiring and promotion decisions, the nature of the problems demonstrates lack of oversight and quality control, and inattention to detail.

A copy of the audit is presented in Appendix F.

Training

Finding #40: Training within CSS is decentralized and not consistent, leading to numerous examples of personnel in positions without proper training.

Training within CSS varies by area and is lacking in a number of important functions. APS provides ample training for social workers, including a multi-day four module core curriculum, covering such topics as abuse, self-neglect, case assessment, legal issues, criminal justice, mental illness, etc. General employment and management training, however, has not been sufficient and has not occurred in the appropriate areas of Departmental responsibility. For example, sexual harassment training is currently being scheduled for managers and supervisors. But all employees need to receive this training and know that the County has no tolerance for inappropriate behavior. (Additional training on sexual harassment will be scheduled for all employees).

The four sources of data¹⁵ on training range from September 1987 through April 2004 and include:

¹⁴ Source: Department of Community and Senior Services Delegated Examination Program Review Report, November 2001

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- APS Branch Training, January 2003-March 2004 and Other CSS Training, July 2003-April 2004. (Source: Electronic file, “training records.xls” provided electronically by CSS, May 12, 2004).
- APS Branch Training, June 1997-July 2003. (Source: Printout “APS Training”, 57 page spreadsheet document, printed March 4, 2003).
- Other CSS Training, July 2003-April 2004. (Source: Electronic file, “training records.xls” provided electronically by CSS, May 12, 2004).
- Other CSS Training, September 1987-April 2004. (Source: CSS Training Course Attendees, Report Date: May 3, 2004).
- Administrative Services Branch, September 1999-January 2004. (Source: *Undated print-out for Administrative Services Branch*).

Much of the completed training appears to be technical, social work related training, dealing with such topics as elder abuse, medication misuse or abuse in older adults, working with the disabled, death and dying, etc. Other courses are in general work environment-related topics, such as written and verbal communication, management and supervision, and time management.

Training highlights from available data for Administrative Service, APS, and other CSS employees are presented in the following exhibit. A table listing all the training programs is presented in Appendix G.

Exhibit #24: Training Highlights from Available Data

- | |
|---|
| <ul style="list-style-type: none">▪ 240 different courses attended▪ 574 attended “Consumer Service Enhancement” or “Customer Service”▪ 169 attended “Diversity”▪ 161 attended “Ethics Training”▪ 123 attended “Balancing Priorities & Time Management▪ 110 attended “New Forms”▪ 92 attended “Auditor-Controller Fraud Awareness”▪ 55 attended “Discrimination Prevention”▪ 33 attended “Sexual Harassment” |
|---|

Finding #41: Although most managers are trying hard to perform their functions, many managers have not been provided the proper level of training to effectively perform their jobs.

There are few written desk procedures or job specifications outside the general county classification specifications that detail the areas of knowledge, education or background required to do specific functions. There are few orientation or training programs for staff when they are hired, promoted or transferred to new assignments. It is not uncommon to have two persons with the same job function yet one has a high school education and the other has a Master’s degree. With this wide gap in knowledge and ability, there are bound to be inconsistent work habits and products. Management has not terminated, demoted or transferred persons who do not perform according to job expectations. They do, however, on occasion promote them to higher positions.

¹⁵Information Data Request-5

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Finding #42: Training at CSS has been inadequately tracked.

Training coordination is centralized for most employees by the Departmental Training Coordinator in the Administration Services branch, but training for APS employees is coordinated by the Special Operations Unit in that division. Prior to 2002, Human Resources did not maintain Department-wide records of employee training. APS has maintained its own comprehensive training records. These are now being integrated with other branch records.

blueCONSULTING requested and received several documents and electronic files related to training, none of which covered the same time period or groups of employees. Therefore, it is not possible to summarize training attendance for the entire Department. As a result, although many may have participated in either mandatory or voluntary training, there are no comprehensive Department-wide records to indicate if training was completed. The lack of comprehensive records of training attendance means that many individuals may not have accurate records of training in their personnel files. It also makes it virtually impossible to conduct an accurate training needs assessment.

Finding #43: Few CSS employees have completed critical training in such areas as sexual harassment, ethics, and discrimination.

Given the types of personnel problems at CSS, more employees should have enrolled in sexual harassment, ethics, and discrimination prevention courses. For example, in comparison to 574 employees who have attended Customer Service or Consumer Service Enhancement training, only 33 had attended Sexual Harassment training when this audit began (according to available data).

Finding #44: Attendance by too few individuals reduces organizational impact.

As the table in Appendix G indicates, the majority of courses have been attended by a single or just a few individuals, limiting the relevance of the training. While some of these may address targeted needs of specific employees (e.g., business writing), work-related training that introduces or reinforces key concepts and skills should be broadly attended to raise the overall level of expertise.

VI. Conclusions and Recommendations

In the recent past, CSS management has been the subject of several studies – from Grand Jury investigations to audits by external firms, the Auditor-Controller (including this one), and the California Department of Aging. These studies have resulted in many recommendations for improvement, the number and magnitude of which has been overwhelming. Given all of the external assistance, input, and direction, management knows *what* to do, but is not sure *how* to do it or how to assign the *right people* to make it happen. Furthermore, the Department has agreed to do more than it can realistically accomplish, has had difficulty establishing priorities, and has been too easily distracted. *Therefore, the primary recommendation of this limited scope management audit is to focus on providing a finite number of programs and services to a narrowly defined customer base and to get this right.*

Our audit has revealed and confirmed that CSS has lost credibility with the Board of Supervisors, the public, and various stakeholders due to long-term lack of leadership, lack of accountability, and funding and program scandals. Given the ingrained culture within most areas of the Department, it is our conclusion that only a major restructuring and refined focus driven by strong leadership will correct the situation. After our evaluation of CSS's management, operations, and organizational structure, and CSS's ability to serve the needs of its customers and stakeholders, blueCONSULTING recommends that the Department focus on a single aspect of its current mission – meeting the needs of vulnerable adults and seniors. We believe that because this constituency will only grow in number and needs, that a continued separate County department dedicated to seniors is justified. It is our hope that, with strong leadership and emphasis on the basics of program and Department management, other related functions from other County Departments could slowly be added to this Department's mission.

This chapter presents this and other recommendations required to address the findings presented in the preceding chapter. The recommendations, mirroring the findings in the previous chapter, are presented in the following major subject areas:

- Mission
- Culture, Management and Leadership
- Communication
- Organizational Structure
- Fiscal and Contract Management
- Information Technology
- Human Resources Policies and Procedures

A. Mission

Recommendation #1: *The Board of Supervisors should consider divesting itself of all programs and services not directly related to meeting the needs of the County's aging population.*

All programs not directly related to serving County seniors, with the potential exception of domestic violence programs, should be transferred to appropriate County departments. While

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additional discussion and analysis may be warranted, we offer the following suggestions on programs to keep within the Department:

- Adult Protective Services.
- All programs presented earlier in Exhibit 9 (page 21) under the category of “Seniors,” with the possible exception of Senior employment which may be more synergistic in an employment based service department.
- Community and Senior Service Centers as a methodology for distributing and presenting programs to seniors.
- Family Care Giver Support Program/60+.

Furthermore, CSS should retain two additional program areas: domestic violence and the services provided by CSBG. These two programs serve some of the most vulnerable County residents and families who require very basic and focused types of assistance (versus employment and training). The Department therefore has an opportunity to increase the synergy with APS and with service providers in the Community and Senior Service Centers, utilize the skills of CSAs, and apply the enhanced contract monitoring policies and procedures described in Recommendations 4 and 10 below.

All other programs under Community, Dislocated Workers, Refugees, and Youth should be considered as potentials for transfer to other county Departments, as discussed earlier.

Recommendation #2: *Implement a “return to basics” planning process to redefine the Department’s mission and develop a culture of responsibility and accountability.*

The Department should embark on an integrated planning process to develop and reinforce a culture of responsibility and accountability. While we are hesitant to recommend an additional “planning exercise,” given our previous comments on strategic planning and implementation, we believe that an initial blueprint must be developed to drive the required organizational and cultural change.

The mission should reflect the newly refined organization’s passion – caring for the County’s vulnerable aging population. Values – which should be applied internally as well as externally to customers should emphasize such characteristics as respect for the individual, professionalism, effective communication, team effort but individual accountability, supervision through oversight and verification, and accountability for grant or taxpayer dollars. This process should focus more on the internal aspects of departmental management and accountability and less on the vision of what the Department could do in an ideal world. A “return to basics” mentality is crucial at this point to develop the framework for effectively and efficiently providing services to seniors in a manner that makes all employees proud.

B. Culture, Management and Leadership

Recommendation #3: *Establish a Code of Professional Work Conduct.*

Establish a “code of professional work conduct” and distribute to all employees. Include in the code such common and basic courtesies as: returning phone calls within 24 hours, zero tolerance for degrading or demeaning comments to personnel, respect for diversity, the concept of “trust but verify” as a managerial discipline, commitment for meeting deadlines, zero tolerance for unethical or illegal activity, etc.

Recommendation #4: *Develop and implement basic decision-making and approval protocols to ensure appropriate accountability and delegation of responsibility.*

Clarify and implement decision-making protocols, including required levels of review and approval authority. All employees should understand the kinds of decisions and actions over which they have authority and for which they will be held accountable. Managers and supervisors may not delegate their level-specific authority and will be held accountable for any inappropriate substitutions by lower level employees. Lower level managers and supervisors should understand that if they approve a given item beyond their level-specific authority, they will be held accountable for understanding and agreeing to whatever they have signed.

Recommendation #5: *Standardize preparation of Board letters to improve quality, consistency, and timeliness.*

Mandate that every Program Manager or other essential personnel in the Department who are responsible for preparing Board letters attend a training session provided by the CAO analyst and County Counsel. Assistant Directors should also attend and ensure that no Board letter is submitted for review and approval until the proper format and content are achieved.

Recommendation #6: *Review the need for, potential overlap and overall effectiveness of the various commission, committees and task forces at work in the Department and ensure that they provide appropriate and specific leadership and advice as mandated by law and as desired by the Board of Supervisors.*

As stated earlier, there is a great deal of time and energy spent by CSS employees in supporting the various commissions and their committees, etc. While we are not passing judgment on the value of these organizations, we do believe that an assessment of their overall contribution and effectiveness is warranted.

C. Organizational Structure

The organizational structure must be adjusted to meet the requirements of the smaller, more focused CSS.

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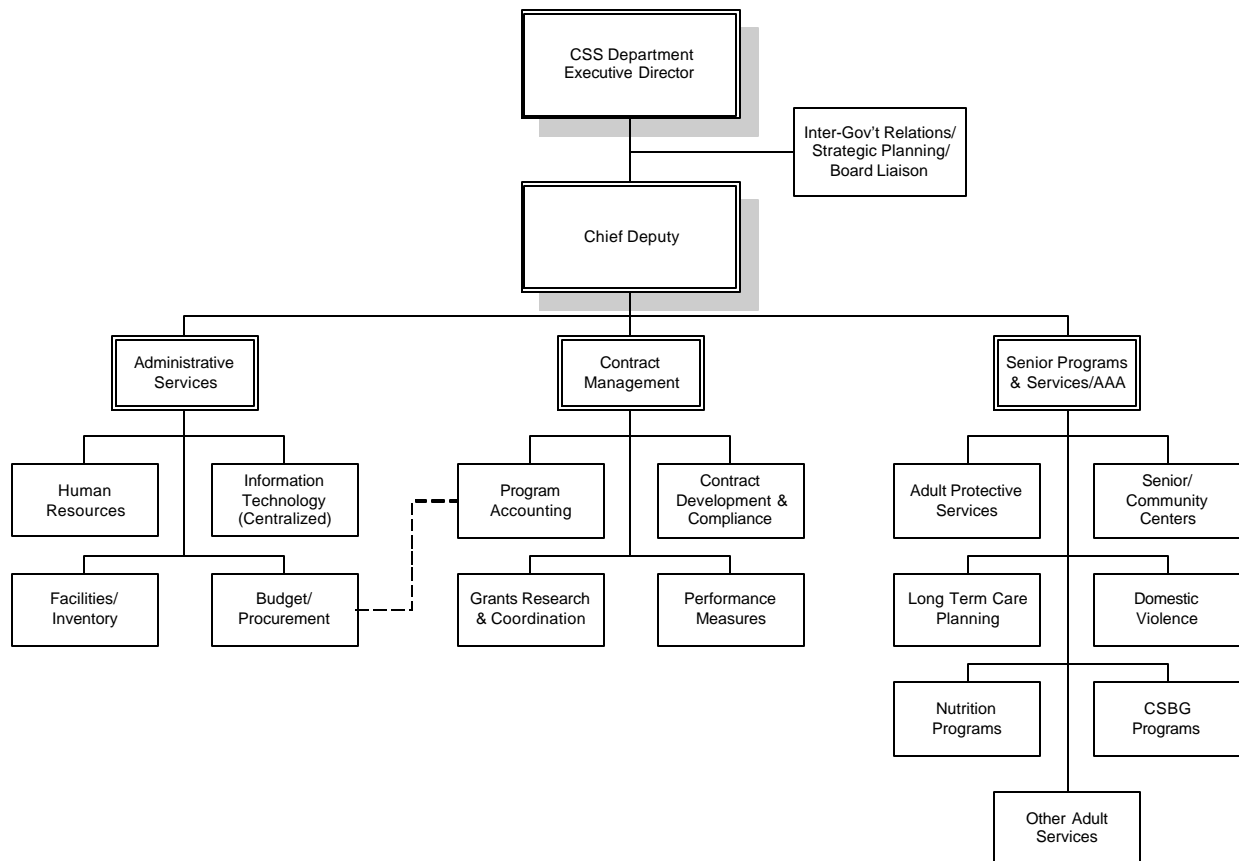
Recommendation #7: *Restructure the Department to have branches for administrative services, contract management, and senior services.*

The smaller Department should include Administrative Services and Senior Programs and Services, and create a new Contract Management branch to ensure strong fiscal and program oversight. Exhibit 25 on the next page presents the recommended organizational structure.

- The **Executive Office** should include the Director and Chief Deputy, as well as the strategic planning, intergovernmental relations, and Board liaison functions.
- **Administrative Services** should be restructured to include Budget and Procurement, Human Resources, Information Technology, and Facilities and Inventory Management. Administrative Support Services should be combined with Human Resources. Program Accounting will shift to the new Contract Management branch, but have a close “dotted line” relationship with Budget and Procurement.
- **Senior Programs and Services/AAA** should include APS, Senior and Community Centers, Long Term Care Planning, Nutrition, Domestic Violence, CSBG programs, and other services for seniors and vulnerable adults. AAA planning should be conducted at the Assistant Director level, because the funding from the Older Americans Act is so integral to all senior programs. While most staff will be involved in direct services through APS, this branch will still have contracts with CBOs to deliver such services as nutrition, domestic violence, CSBG programs, etc.
- **Contract Management** (discussed in more detail in Recommendation 10 below) should include Program Accounting, Grants Research and Coordination, Contract Development and Compliance, and Performance Measures. Staff in this branch will work closely with program managers in Senior Programs and Services to standardize and manage development of RFPs, review contracts, and ensure objective audits of contract compliance and overall program effectiveness. The Grants Research and Coordination function will focus on obtaining new funding sources for senior services. The Performance Measures unit act as a liaison between Department strategic planning and program outcomes, working with program managers and program monitors to develop and implement effective measurements of program success.

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Exhibit #25: Proposed Organizational Structure



D. Communication

Recommendation #8: *Develop and implement Department-wide communication policies and practices.*

With input at all levels, CSS should develop and implement policies regarding internal communication, including frequency of meetings (Department-wide, branch, division, etc.) and access to and use of internet and intranet

E. Fiscal and Contract Management

Recommendation #9: *Review existing recommendations for sound accounting, cost allocation, and other fiscal policies and practices. Establish priorities and develop a timeline for implementation.*

Working with the Auditor-Controller, managers over budget, procurement, and program accounting should establish a timeline for implementing existing recommendations regarding fiscal policies and procedures.

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Recommendation #10: *Define and implement four distinct components of effective contract management: contract development, program management, contract compliance, and contract auditing.*

In general, contract development, contract compliance and contract auditing should be centralized within the Department. CSS may benefit from centralizing some of the RFP solicitation and administrative and financial aspects of contract management. Administrative and financial aspects include ensuring that all documentation is adequate to support invoices, required insurances are current, independent financial audits meet requirements and are conducted annually, and similar contract obligations.

It is our opinion, however, that the program services provided within the Department are too varied to centralize any programmatic aspects of management or monitoring. From dispute resolution to youth training to domestic violence, the missions and required monitoring should be unique and program-specific. In addition, federal and state regulations pertaining to each program's operations differ. Some specialized program knowledge is needed for effective and accountable program and contract management.

Furthermore, there needs to be a balance between centralized contract management and program management: the centralized functions should not shift primary program responsibility away from program managers. It is essential that the recommended centralized contract management function not minimize primary program responsibility by shifting responsibility away from program managers (in the Senior Programs and Services branch) to monitors and auditors (in the Contract Management branch).

In terms of overall program management responsibility, one individual, with appropriate staff support, should be held accountable for program implementation and results. That individual should ensure that the program is functioning as described in the contract and Board letter and that the budget-expenditure relationship is sound. To provide the appropriate checks and balances, however, staff in the centralized Contract Management branch will conduct periodic audits, verify monitoring practices, identify program issues and problems, and make recommendations for improvement. Program managers, however, will continue to be held accountable for effective program management, sound relationships with CBOs, and successful program outcomes. In other words, while fiscal and other program information may come from the centralized contract development branch, it should be "owned" by program management. The division of responsibilities and tasks is illustrated in Exhibit 26 on the following page.

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Exhibit #26: Program and Contract Management Functions

Centralized Contract Management	Program Management
<ul style="list-style-type: none"> Manage the RFP solicitation process: development of RFP package, requirements for insurance, and other County requirements Develop and review contracts Monitor contract compliance Conduct periodic audits of all Department contracts Ensure compliance with contract and funding source requirements 	<ul style="list-style-type: none"> Develop program work scope for RFP Prepare program timeline (RFP through Board letter) Draft Board letters for review by the Assistant Director and the Board liaison Manage relationships with CBOs Observe program operations Manage the fiscal relationships with CBOs, including review and approval of submitted invoices Work closely with centralized Program Accounting to ensure compliance with fiscal requirements Prepare a monthly financial summary of percent of allocation expended by CBO, remaining funding, invoices submitted, etc. Prepare a monthly status report on program progress, issues, and milestones for the Assistant Director and Chief Deputy Ensure successful program outcomes

F. Information Technology

Recommendation #11: *Evaluate outstanding IT projects, establish priorities, and formalize an IT plan and timeline.*

Under the direction of the County Chief Information Officer (CIO) or the Internal Services Department (ISD), CSS should review the various attempts at automation in the Department and to facilitate and develop a plan for completion of the various projects. At the same time, the CIO or ISD should oversee the establishment of a high level information technology task force consisting of various program managers and others currently involved in the automation aspects within the Department. Verify that the existing approach and focus of ongoing efforts is, in fact, the proper approach and that each project has established due dates, budgets, etc. Prioritize each project and ensure that the most important projects are accomplished in a timely manner. This task force should be under the direction of the Chief Deputy, who should be responsible for assuring integration with other County efforts and obtaining input from the County CIO and ISD.

No vendor should be terminated or hired until a complete review of where each project is, sunk costs, etc. is known. A representative of the CIO or ISD should act as an interim Director of IT on an until a qualified, full-time person can be hired.

G. Human Resources

Recommendation #12: *Evaluate Human Resources policies to ensure internal equity, fairness, and integrity in hiring, promotions, and salary adjustments.*

The County Department of Human Resources (DHR) should assist CSS in evaluating the policies and procedures listed below to ensure objectivity, compliance with County Human Resources policies, development of priorities, and the systematic implementation of the recommended changes.

- **Out-of-class and bilingual bonuses.** Eliminate all out-of-class and bilingual bonuses that are currently being paid. Criteria for a position receiving either bonus should be developed and employees should reapply based on that criteria. A committee consisting of a program manager, Human Resources personnel, and a union representative should recommend who is eligible for either out-of-class or bilingual bonuses and draft recommendations outlining their rationale. Each recommended bonus must be reviewed and approved by the Assistant Director and the Chief Deputy or Director.
- **Promotional examinations.** Work with the County Department of Human Resources (DHR) to ensure an open and competitive bid process and compliance with all policies and procedures regarding promotional exams. All interview forms and personnel tests should be completed in ink and signed and dated by the individual. There should never be an opportunity for exam answers to be changed to have a specific individual be offered a promotion. Communicate the review and revision of Department promotional policies to ensure that all employees know that the promotional process has been reviewed and will be objective and fair in the future. Consult with union leaders, as appropriate, to ensure implementation of recommended changes to the promotional process.
- **Acting/interim positions.** Reevaluate the use of acting positions within the department. No additional “acting” positions should be granted until a more objective process can be developed and approved. A testing process for internal promotions should be considered. It is essential that the current perception of unfair promotional practices that is pervasive throughout the Department be stopped, and that individuals who are qualified obtain the opportunity for promotion. Ensure that personnel who are in acting positions meet the minimum requirements of the position in terms of time in grade, degrees, etc. If a list for promotion exists, no person should be given the “acting” title who is not on that list, without written justification and approval of senior management. Establish a time limit (such as 9 months) for staff “sitting” on acting positions without promotion.
- **Training.** Develop a list of mandatory training and verify whether employees have received the training. For example, central records should indicate that an individual has received County-required sexual harassment or ethics training and the employees’ signature should be shown on a sign in sheet. If current records do not exist, provide the training again. Working with program managers and employees, each Assistant Director should develop a training program for their areas of responsibility and ensure that staff are adequately trained to perform their jobs.
- **Job Classifications.** Conduct a Job Classification study to determine the potential duplication and need for Project Supervisors, CSA I, CSA II and CSA III positions.

**Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services**

Appendixes to the Final Report

submitted July 2, 2004 to

**J. Tyler McCauley
Auditor-Controller
County of Los Angeles**



**Office of the Auditor-Controller
Management Audit of the
Department of Community & Senior Services
Appendixes to the Final Report**

Appendix A	Interview Participants
Appendix B	Abbreviations and Acronyms
Appendix C	2003-2005 Strategic Plan
Appendix D	Councils and Commissions
Appendix E	Program Funding Matrix
Appendix F	Audit Reports
Appendix G	Training

Appendix A: Interview Participants

blueCONSULTING requested and interviewed the following individuals, listed in alphabetical order.

Community and Senior Services

Cynthia Banks, Chief Deputy	Ken Kessler
Elvira Castillo	May Kingi
Yolanda de Ramus, Program Accounting	Josie Marquez
Carol Domingo, Quality Assurance	Stacey Mason
Roseann Donnelly	Maggie Mireles
Virginia Enriquez	Alex Ramos
Pam Everett	Geraldo Rodriguez
Melinda Fonseca	Jackie Lynn Sakane
Adine Forman	Patricia Sennette-Holt
Nneenah Frazier	Lynda Shapiro
Carol Gardner	Pam Smith
Jonathan (Jay) Glassman	Alan Tang
Crystal Huang	Ellie Wolfe
Yolanda Johnson	Cathy Zelaya

Furthermore, blueCONSULTING conducted 19 in-person or telephone interviews with employees who requested confidential interviews.

Other Departments

blueCONSULTING interviewed representatives from each Board Office, as well as from these other County departments:

- Department of Public Social Services
- Department of Mental Health
- Consumer Affairs Department
- Community Development Commission

Appendix B: CSS Abbreviations and Acronyms

The following table lists the definitions for abbreviations and acronyms frequently used by CSS and throughout this report.

Exhibit #27: CSS Abbreviations and Acronyms

<ul style="list-style-type: none"> ▪ AAA - Area Agency on Aging ▪ AASB – CSS Aging and Adult Services Branch ▪ ADCRC - Alzheimer Day Care Resource Centers ▪ ADR - Alternative Dispute Resolution ▪ AFDC - Aid to Families with Dependent Children ▪ APS - Adult Protective Services ▪ ASB - CSS Administrative Services Branch ▪ CAA - Community Action Agency ▪ CAB - Community Action Board ▪ CalWORKs - California Work Opportunity and Responsibility to Kids ▪ CBOs - Community Based Organizations ▪ CAO – County Chief Administrative Officer ▪ CSAIBG - Community Services American Indian Block Grant ▪ CSBG - Community Services Block Grant ▪ CSS - Community and Senior Services Department ▪ DA - District Attorney ▪ DART - Domestic Abuse Response Team ▪ DHS – County Department of Health Services ▪ DOL – Federal Department of Labor ▪ DPSS – County Department of Public Social Services ▪ DRP - Dispute Resolution Program ▪ DV - Domestic Violence ▪ EDD – State Employment Development Department ▪ E&T - CSS Employment and Training Branch ▪ FRC - Family Resource Center ▪ GR - General Relief ▪ GROW - General Relief Opportunities for Work ▪ HHS – Federal Department of Health and Human Services ▪ HICAP - Health Insurance Counseling and Advocacy Program 	<ul style="list-style-type: none"> ▪ HMO - Health Maintenance Organizations ▪ ICMP - Integrated Care Management Project ▪ ISD – County Internal Services Department ▪ ISS - Internal Support Services ▪ IT - Information Technology ▪ JTPA - Job Training Partnership Act ▪ LAHSA - Los Angeles Homeless Services Authority ▪ LTFSS - Long Term Family Self Sufficiency ▪ MAPP - Management Appraisal and Performance Plan ▪ MAA - Medi-Cal Administrative Activities ▪ MIS - Management Information System ▪ MOU - Memorandum of Understanding ▪ NAIC - Native American Indian Commission ▪ OAA - Older Americans Act ▪ OSP - Office of Strategic Planning ▪ PIF - Productivity Investment Fund ▪ REP - Refugee Employment Program ▪ RESS - Refugee Employment Social Services ▪ RFP - Request For Proposal ▪ RITE - Refugee Immigrant Training and Employment ▪ SWOT - Strengths, Weaknesses, Opportunities, Threats ▪ TA - Targeted Assistance (Refugee Program) ▪ TANF - Temporary Assistance for Needy Families ▪ TCM - Targeted Case Management ▪ WIA - Workforce Investment Act ▪ WIB - Workforce Investment Board ▪ WDP - Workforce Development Project ▪ WtW - Welfare to Work
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Appendix C: CSS 2003-2005 Strategic Plan

The 2003-2005 Strategic Plan, updated in June 2003 from the 2001-2003 Strategic Plan, is presented in this appendix.

County of Los Angeles
Department of Community and Senior Services



Strategic Plan 2003-2005

To enrich lives through effective and caring service.



Updated June 2003

Director's Update Message



We will not let the challenges that lie ahead deter us from our vision or mission. We will not disappoint those who depend so much on us.

A successful strategic plan must produce results, provide leadership, action and never compromise vision and values.

Our plan is about people not things. The people we partner with and the people we serve.

We are committed to exceptional management rather than management by exception.

A lot has happened since publishing our July 2002 update. A lot of challenges lie ahead. Terrorism, Federal, State and County spending constraints, health alerts and continuing needs of the working poor cannot be ignored nor can they deter us from achieving our vision and mission.

It has never been so important for the County to maintain a sharp strategic focus. It has never been so important for the County to act as one. This update reflects our "Many partners...one vision" approach.

We believe a successful plan must produce results, provide leadership, action, and never compromise vision and values. It must also make the extra-ordinary ordinary for everyone it serves. We also believe our plan is about people not things or processes. The people we serve and the people we partner with to serve.

We have sharpened our strategic focus as we move forward with this update to our plan. We will aggressively, creatively and in the collaborative manner that has served us so well thus far, focus our strategic efforts on:

- Implementing the County's Long Term Care Strategic Plan.
- Implementing the newly redesigned Independent Living Program.
- Expanding our aggressive efforts in comprehensive program monitoring in collaboration with the Auditor Controller.
- Achieving organizational renewal and revitalization.
- Leveraging information technology and existing information technology resources.
- Building new and strengthening existing partnerships.
- Developing among staff the skills needed in our challenging future.
- Ensuring proactive and comprehensive communication with and among our clients, stakeholders and partners on matters relevant to community and senior services.

This plan update identifies our go forward Strategic Goals, Strategies and Objectives; describes how we will continue to align with and support the County's strategic planning efforts.

Sincerely,

Robert Ryans
Director, Community and Senior Services
June 24, 2003

Board of Supervisors

Gloria Molina
Supervisor, First District

Don Knabe,
Supervisor, Fourth District

Yvonne Brathwaite Burke
Supervisor, Second District

Michael D. Antonovich,
Supervisor, Fifth District

Zev Yaroslavsky
Supervisor, Third District

Department of Community and Senior Services

Robert Ryans, *Director*

Kenneth Kessler, *Assistant Director, Administrative Service*

John Coyle, (Acting) *Assistant Director, Aging and Adult Services*

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Executive Overview

In this plan we are bridging the final year of our 2001-2003 plan and our 2003-2005 plan. We will continue and expand the practices that have yielded success, most notably our collaborations and partnerships. We will also work with any and all organizations committed to innovation for the benefit of our clients, stakeholders and partners.

Some examples include our participation as one of four County departments leading the way in the County's Performance Counts! pilot to innovate in performance measurement, participation in the Community Services Cluster Group, involvement in the Strategic Plan for Municipal Services to the Unincorporated Areas, participation in the Goal 5 Stakeholder Alignment Process and collaboration with our Commissions and Advisory Boards on their strategic plans.

We have sharpened our strategic focus in this time of limited resources and escalating demands to ensure the high priority strategic matters receive our full attention.

Implementing the **County's Long Term Care Strategic Plan** is critical to addressing the rapidly growing need for services by the oldest of the old and those physically disadvantaged. We have staged the implementation to minimize the upfront costs while building the necessary infrastructure and relationships that will be needed in the later years of the plan. We will leverage resources across participating departments to minimize the needed for dedicated staff to work the plan. We believe the plan can be implemented primarily from within existing resources rather than having to add net new resources. This will be accomplished by leveraging our success with collaborations and partnerships.

Implementing the newly redesigned **Independent Living Program** builds on the **Performance Counts!** performance measurement practices and is an example of innovation for the benefits of our clients, stakeholders and partners whom we have involved in the redesign process.

We have been working diligently with the Auditor Controller and our Memoranda of Understanding partners to ensure our monitoring processes are aggressive, comprehensive and fully responsive to the County and funding source requirements. This will continue as a strategic matter of high importance.

Like other County departments we are suffering from the attrition of experienced staff, mostly through retirements. **Organizational renewal and revitalization** are and will continue to be a strategic priority requiring our close attention and creativity. We must also identify the skills of the future for all of our staff. We must ensure that our committed and hardworking employees and partners have the skills to continue their success into the future. We believe developing our staff empowers them for the benefit of clients, stakeholders and partners.

Finding new and different ways to leverage information technology to benefit clients and partners within existing resource will demand some of our best strategic thinking, action and collaboration. This is a strategic imperative that will not go away anytime soon.

Forging new partnerships and strengthening existing ones will continue to be a strategic priority. We will seek opportunities to leverage resources and make our services seamless through a strong and innovative network of partners.

As in all human endeavors, communication is essential to success. We have included **proactive and comprehensive communicating** in our strategic focus because our plan is about people. People must know where we are headed, why and how; they must also know how they fit into our future.

Our Mission and Vision

Our mission describes our purpose as an organization while our vision describes what we aspire to become as a result of our strategic thinking, planning and actions.

Our Mission

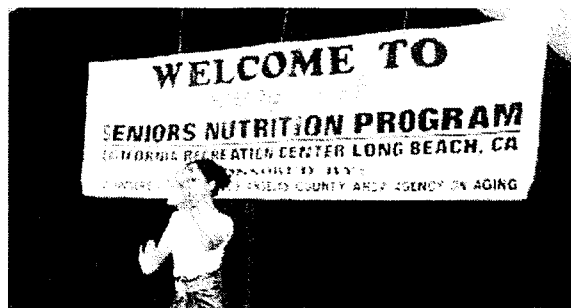
It is the mission of Community and Senior Services to provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses and public and private agencies.

Our Vision

We will be an exemplary organization acclaimed for our national reputation, our regional strength, and our community partnerships and collaborations as we provide high quality human services to protect and improve the social and economic well being of the residents of Los Angeles County.



Cambodian Refugee Center Appreciation Day





Senior Computer Education



Senior Exercise Classes



Senior Dance Classes

Our Values

Our values define how we will treat our clients, partners, stakeholders, employees and any organization or individual with whom we have contact.

A Can-Do Attitude

We will focus on what can rather than what cannot be done.

A Client Focus

We will always view our services and the way they are provided through the eyes of our clients.

Accountability

We will take responsibility for all we say and do.

Collaboration

We will be exemplary in teamwork, cooperation and service integration.

Commitment

We will do what we say we do, when, and in the way we say we will do it.

Compassion

We will treat with respect those less fortunate and less able. Everything we do will demonstrate we truly care.

Integrity

We will be relentless in standing up for what is right.

Professionalism

Everything we do will be done at the highest possible levels of performance. We will aspire to be a model for other organizations of our kind.

Respect for Diversity

We value our diverse clients, partners, stakeholders and employees and will create a work environment that is free of prejudice and discrimination.

Responsiveness

We will be responsive in the way our clients, partners, stakeholders and employees value it.

Programs and Services

The Department of Community and Senior Services (CSS) provides an array of safety net social and human services to residents of the County of Los Angeles. These services are delivered through over 30 different programs throughout the County by an extensive network of non-profit community-based organizations, cities, and quasi-governmental entities. This network is complemented by partnerships with other County departments such as the Departments of Public Social Services, Children and Family Services, Mental Health, Health Services, Consumer Affairs, Treasurer Tax Collector, Animal Care and Control, Internal Services, Parks and Recreation, Public Library, Probation, Community Development Commission, and the Office of the District Attorney. In addition, CSS provides administrative and staff support to the Area Agency on Aging Advisory Council, Los Angeles County Commission on Aging, Community Action Board, Domestic Violence Council, Native American Indian Commission, and the Workforce Investment Board. The importance of the advice and consultation provided to the department by these commissions, committees, and advisory councils cannot be overstated. CSS receives guidance on policies that shape the Department's operations, programs, services, and activities. These advisors also monitor and evaluate client services.

The following table summarizes CSS revenue amounts and sources for fiscal year 2003-2004. Revenues originating from federal and state sources, license and permits fees, court filing fees, parking fines, local sources, and collaboration with other County departments, account for 97% of CSS revenue. The remaining 3% comes from the County General Fund.

Funding Source FY2003-2004	Percent	Proposed Budget
Federal, State, and Local	58%	\$96,404,000
Collaboration with other County Departments	39%	64,446,000
County General Fund	3%	4,626,000
TOTAL	100%	\$165,476,000

Community and Senior Services operates the following programs and services:

- Adult Protective Services (APS)
- Congregate Meals and Home Delivered Meals
- Community Service Centers and Community Senior Centers
- Welfare-to-Work (WtW)
- Refugee CalWORKs Project
- Domestic Violence CalWORKs Project
- Senior Citizen Programs
- Healthcare Workforce Development (WPD)
- Community Service Programs
- Refugee Employment Programs (REP)
- General Relief Opportunities for Work Projects (GROW)

- Alzheimer Day Care Resource Center (ADCRC)
- Health Insurance Counseling and Advocacy Program (HICAP)
- Family Care Giver Support Program
- Workforce Investment Act and WorkSource Centers
- Rapid Response
- Youth CalWORKs Long Term Family Self Sufficiency Project
- Domestic Violence Services CalWORKs Project
- State Naturalization Program
- Elder Abuse Program
- Long Term Care Integration Planning
- Domestic Violence Program
- Dispute Resolution Program
- Native American Indian Program
- Senior Employment Program (Title V)
- Linkages Program
- Volunteer Mediation Services
- Traffic Safety Project
- Targeted Case Management (TCM)
- Foster Youth Independent Living Skills Enhancement Program

Fiscal Year 2003-2004 Estimated Program Outputs

Programs	Outputs
Adult Protective Services	22,100 clients to be served.
Workforce Investment Act and Healthcare Workforce Development	10,400 adult, dislocated work and youth clients to be served.
Senior Citizen Programs	19,000 integrated care management clients to be served, 953,200 home delivered meals to be served and 1,955,400 congregate meals to be served.
Community Service Centers	42,900 food baskets served.
Community Services Program	24,100 plan clients to be served and 15,600 at risk clients to be served.
Refugee Immigrant Training and Employment (RITE) Program	10,200 clients to be served.
Refugee Employment Program	4,500 clients to be served.
General Relief Opportunities for Work (GROW) Program	59,000 clients to be served.

Adult Protective Services (APS)

Adult Protective Services (APS) is a State-mandated program that provides protective services to elders and dependent adults who are victims of abuse, neglect, self-neglect or financial exploitation and are unable to protect their own interests. The APS program receives and responds to reports 24 hours per day, seven days a week, and operates a countywide emergency shelter program to provide temporary, emergency shelter for clients who are endangered in their normal living environment.

The program provides tangible support services in the form of emergency food and transportation vouchers and through a purchase of service programs through contracts with

24 community-based care management agencies. These agencies also provide follow-up services when requested and authorized by the APS worker. Interdepartmental agreements have been established with the District Attorney's Office and the County Departments of Mental Health, Health Services, and Consumer Affairs to provide specialized multidisciplinary services. These include court forensic services, accelerated probate conservatorship petition processing, in-home mental health assessments, hospital and community-based health services, and fraud prevention services.

A marketing campaign has been established to increase public awareness about elder abuse. Billboard and cinema campaigns, radio public service announcements, and promotional items including pens, rulers, refrigerator magnets, coasters and tote bags advertise the toll-free elder abuse hotline for reporting elder abuse incidents.

Community Service Centers and Senior Centers

CSS operates fourteen Community Service Centers and Senior Centers. They provide direct services to individuals and families to meet immediate, critical needs including 43,000 emergency food baskets, emergency shelter, emergency gas and electric bill payments, "ombudsman" assistance for persons in crisis, immigration counseling, health care, nutrition services, substance abuse counseling, and building supervision for tenant service agencies.

In addition to the above services, the Service Centers are part of the delivery system for the Department's grant programs. Seven of these programs operate out of the Centers: Senior Foster Parent/Adoption program encourages senior citizens to provide a stable home for foster children, the Comprehensive Child Development program provides high quality childcare for children ages two to five for low-income parents, the Toy Loan program is based on the library model to foster a sense of responsibility and increase self-esteem for children, the Lead Abatement program to provide free of cost to low-income family to remove lead-based paint, State Naturalization Project to deliver naturalization services to legal immigrants, and the Refugee Employment Social Services Public Charge Project for naturalization outreach and translation services.

Refugee, Domestic Violence CalWORKs and Family Self-Sufficiency Projects

The Refugee CalWORKs program mandated welfare reform employment services to non-English/non-Spanish speaking CalWORKs participants through Refugee Employment Program contractors. The Domestic Violence CalWORKs Support Services program provides residential services, case management, legal and other support services to help victims of domestic violence and their dependents improve their lives and enter the workforce. The CalWORKs Long-Term Family Self-Sufficiency Projects is a funding vehicle for mini career centers, youth jobs employment and domestic violence victims support services.

Senior Citizen Programs - Area Agency on Aging (AAA)

Senior citizens programs are a key component of CSS. The Commission on Aging, appointed by the Board of Supervisors, advises the department of priorities and programs for seniors. The Area Agency on Aging (AAA) is a State-designated agency established in 1975 to administer Older Americans Act/Older Californians Act resources. The AAA is a separate division within the Aging and Adult Services Branch of Community and Senior Services and is responsible for identifying unmet needs of older adults and functionally-impaired adults as well as planning, coordinating and implementing programs that promote the health, dignity and well-being of the county's residents. The Advisory Council, mandated under the Older Americans Act, works closely with the AAA staff to determine programs, services, and allocations.

The AAA contracts with agencies throughout the county to deliver human services that promotes independent lifestyles for the targeted population. Services include home-delivered meals and congregate meals, in-home services, respite care, registry services, health insurance counseling, and Alzheimer's day care resource centers. On July 1, 1999, the AAA implemented a countywide Integrated Care Management Demonstration Project using four sources of funds (Older Americans Act, Linkages AB 2800, Linkages AB 764, and APS expansion). This project provides care management and service coordination to functionally impaired adults and older adults to maintain an optimum level of functioning and reduce the need for crisis-oriented services.

Annually, over 150,000 persons are served under AAA-funded programs including the provision of over 2.5 million nutritious meals, 200,000+ hours of care management services, and 55,000 hours of in-home support to the elderly and disabled in Los Angeles County.

Senior Employment Program

The Senior Employment Program serves persons 55 years and older whose annual income is no greater than 125% above the poverty level. The program provides training opportunities through 80 non-profit host agencies for 271 enrollees, and coordinates activities and services in partnership with the WorkSource Career Centers and other private sector employers. The "Kids on the Move" project, which trains seniors to serve as escorts and bus drivers on school buses for children with special needs, received a National Association of Counties Achievement Award in 2001. In its first year, the program placed over 156 seniors, exceeding the required placement goal of 67 seniors.

Workforce Investment Act (WIA)

The Workforce Investment Act (WIA) of 1998 replaced the Job Training Partnership Act (JTPA) on July 1, 2000. It provides the framework for a unique national workforce preparation and employment system designed to meet the needs of the nation's businesses, job seekers and those who want to further their careers.

The State allocates funds to local workforce investment areas according to Federal formula and through competitive grants. In turn, local governments and Workforce Investment Boards share decision-making responsibility in providing employment and training opportunities. WIA provides employment services through a network of WorkSource Centers to unemployed and disadvantaged persons in the County workforce investment area. Services include job search and job preparation, career counseling, and placement assistance and academic enrichment. The goal is to achieve reductions in dependency and a more fully employed workforce. Approximately 20,000 individuals are served in the Employment and Training program each year.

WorkSource California

The County of Los Angeles has launched WorkSource California to introduce and increase awareness of the services available to businesses and career seekers. WorkSource California is an innovative regional collaborative represented by Community and Senior Services and Department of Public Social Services; City of Los Angeles, Community Development Department; eight Workforce Investment Areas (WIAs) including the County and City of Los Angeles WIAs; California Employment Development Department, Los Angeles County Economic Development Corporation, and over 45 community based organizations.

Businesses and career seekers were previously exposed to a number of local service providers known as One-Stops. Now through WorkSource California customers are provided with a single point of contact and a single point of entry. Businesses and career seekers can access the services through either the centralized call center by calling the toll-free number (888) 226-6300 or by visiting the website at www.WorkSourceCalifornia.com. Since WorkSource California considers small businesses as its primary customer, it positions itself to assist small businesses by providing staffing, recruiting, screening, job posting, and labor market information at little or no cost to its customers.

Healthcare Workforce Development Project (WDP)

The Employment and Training Healthcare Workforce Development Project (WDP) provides comprehensive services that address workforce training and restructuring activities in Los Angeles County's health care system. The WDP encompasses ongoing planning and research activities to ensure that training is responsive to the changing training needs of the Department of Health Services (DHS). WDP training activities include the design and implementation of training programs linked to specific 1115 waiver-mandated initiatives; training programs that address critical labor shortages by training DHS employees to move into needed occupations; and support for DHS restructuring by upgrading work skills through portable skills, bridge programs, and innovative training programs.

Community Services Programs

The Community Action Agency (CAA) programs assist low-income individuals and families in their efforts to move beyond poverty to self-sufficiency. The Mission Statement of the

CAA emphasizes Service Delivery, Resource Development and Advocacy. A network of over 100 non-profit agencies delivers the CAA's services to over 30,000 low-income residents each year.

Community Services Block Grant funding provides the anchor resources (\$6 million each year) for integrating and leveraging other program dollars, including WIA, Domestic Violence, Parents Fair Share, LAHSA homeless programs, State Traffic Safety programs and State Utility Bill Assistance programs.

Another Community Services program is the Alternative Dispute Resolution Program (DRP). The Los Angeles County DRP administers \$3.1 million in grants each year. These grants enable 17 private non-profit and public entities to provide voluntary alternatives to formal legal proceedings for a variety of conflicts. Resolution of conflicts may involve mediation, arbitration, conciliation, or facilitation. The program enables the courts to avoid millions of dollars in court costs each year.

Community Services Programs also includes the L.A. City/County Native American Indian Commission (NAIC). The NAIC primary purpose is to provide American Indian people opportunities to identify their own circumstances and inspirations, and to formulate plans and programs, which will effectively address the problems and needs of American Indians residing in the greater Los Angeles area.

Refugee Employment Programs (REP)

The Refugee Employment Program, through a service provider network, provides services to refugees residing in the country for less than 60 months. Services include resettlement, acculturation, employment readiness, vocational training, English-as-a-second language, job placement, and customized employer linkage training. Elderly Refugee Services focus on connecting refugees with mainstream elderly services and promoting cultural and language-sensitive environments among mainstream providers.

Refugee Immigrant Training and Employment Program (RITE)

The Refugee Immigrant Training and Employment Program, a collaborative effort between CSS and DPSS, provides services, in a culturally and linguistically appropriate manner, through a network of 15 Refugee providers, to all non-English/non-Spanish speaking CalWORKs participants. Services under this program include case management and Welfare-to-Work services such as orientation, appraisal, job club, job search, vocational assessment, clinical assessment, mentoring, community service, and supportive services.

General Relief Opportunities for Work (GROW)

In 1998 the State of California passed a law allowing counties to continue the current level of funding for General Relief clients contingent upon the implementation of a mandatory Welfare-to-Work program. The Board of Supervisors directed the Department of Public Social Services (DPSS) to implement the new law in Los Angeles County and a mandatory Welfare-to-Work program Countywide.

To implement the new law in Los Angeles County, DPSS requested CSS to provide employment and training orientation, job clubs, and placement assistance for General Relief clients, via the CSS network of service providers. Additionally, DPSS requested CSS to provide an assessment of needs and services for GROW participants who are victims of domestic violence that limits or impairs their ability to become and remain employed.

TITLE XIX Medi-Cal Administrative Activities

CSS will explore the possibility of participating in the Title XIX, Social Security Act, State of California Medi-Cal Administrative Activities/Targeted Case Management (MAA/TCM). A number of CSS-administered programs may be eligible for submission of claims for services to clients who meet the program's eligibility requirements.

Medi-Cal Administrative Activities (MAA) are those activities necessary for the efficient administration of California's Medi-Cal plan. There are six categories of activity: Outreach, Facilitating the Medi-Cal Application Process, Transportation, Program Planning and Policy Development, MAA Coordination and Claims Administration, and MAA Implementation Training,

These funds are available to county staff and contract staff. Reimbursable costs of all activities performed for facilitating the Medi-Cal application, transportation, and program planning and policy development are discounted by the percentage of Medi-Cal recipients in the target population. The discounted costs are then reimbursed at a 50% rate with federal funds. The remaining categories are reimbursed at a full 50% rate. MAA claiming can begin in any quarter.

Targeted Case Management (TCM)

Targeted Case Management (TCM) is designed to assist a specified group of Medi-Cal recipients with access to necessary medical, social, educational or other services. There are six service components: Assessment, Plan Development, Linkages and Consultation, Assistance with Accessing Services, Crisis Assistance Planning, and Periodic Review.

These funds are available to county and contract staff. This funding source is only available at the beginning of a fiscal year and requires significant documentation. Federal reimbursement is slightly over 51% rate and is only available for services administered to Medi-Cal clients.

Key Collaborations

The following are some of the significant collaborations currently underway with other County departments.

Department of Health Services and CSS

Medical Intervention MOU

Provides hospital-based screening, medical intervention and treatment services for victims and potential victims of elder abuse.

Proposition 36 Substance Abuse and Crime Prevention Act

Provides alternative treatments and employment and training services for those individuals placed on probation relating to substance abuse.

Healthcare Workforce Development Program

Provides comprehensive services that addresses workforce training and restructuring needs in Los Angeles County's health care system. Training activities include the design and implementation of training programs linked to specific 1115 waiver-mandated initiatives.

Department of Public Social Services and CSS

CalWORKs Long Term Family Self-Sufficiency Projects

Youth Jobs

Provides work-based learning opportunities for CalWORKs youth coupled with functional basic skills, career planning, employment, employment readiness skills, and job placement.

Refugee and Immigrant Training Employment Program

Provides mandated welfare reform employment services to non-English/non-Spanish speaking CalWORKs participants.

General Relief Opportunities for Work (GROW)

Provides employment and training orientation, job clubs, and placement assistance for General Relief clients, via a network of service providers, and assessment of needs and services for participants who are victims of domestic violence that limits or impairs their ability to become and remain employed.

Department of Mental Health and CSS

Public Guardian MOU

Provides accelerated probate conservatorship petition processing on clients referred by APS to the Public Guardian's Office.

GENESIS MOU

Provides in-home mental health assessments and follow up services to clients referred by APS to the GENESIS program.

District Attorney and CSS

Elder Abuse Prosecution Support Program MOU

Facilitates the preparation of cases for prosecution through enhanced collaboration and training between the District Attorney, APS, and law enforcement agencies.

Internal Services Department, Department of Children and Family Services, and CSS

Internal Services Department (ISD) Foster Youth Trades and Crafts Apprenticeship Project

Provides work-based learning opportunities to foster youth in the ISD building crafts or power plants. Foster youth receive occupational training with excellent career paths into apprenticeship and journeyman positions.

Department of Children and Family Services and CSS

Foster Youth Independent Living Skills Enhancement Program

Provides services to foster youth ages 16-21 who have emancipated or are emancipating from the foster care system. The purpose of this program is to create an effective, performance-based service delivery system designed to assist foster youth achieve self-sufficiency and eventual employment. Eligible foster youth will have access to a continuum of services that are broken down into four domains related to successful independent living. Services will be provided by contracted Skills Centers who will ensure that their participants have access to Workforce Investment Act (WIA) WorkSource Centers and WIA Youth Centers for more extensive job preparation and placement services as appropriate.

Probation Department and CSS

Probation Adult and Youth Training Projects

Adult

Provides job preparation, job search, career counseling, placement assistance, and training through WorkSource Centers to unemployed and under-employed probationers.

Youth

Provides academic enrichment, leadership development, mentoring, work experience and other related services to Probation Department youth referred from the probation camps.

Public Library and CSS

Kiosk System

Provides the community with information regarding the availability of employment and training services throughout the County using information technology/internet accessibility. Kiosks are located in libraries and public throughout the County.

Consumer Affairs and CSS

Consumer Protection Program MOU

Provides fraud recovery and prevention services to APS clients victimized by financial exploitation.

Integrated Care Management Project (ICMP)

Case Management Services for Elders and Disabled Adults

Provides a uniform set of eligibility requirements, standards of service delivery and service availability in all areas of the County, to persons aged 18 years and older. ICMP integrates four different state and federal funding sources from the Older Americans Act, the California Department of Aging, the California Department of Social Services (Adult Protective Services) and disabled parking violation fees.

The Updated Planning Process

Community and Senior Services used a variety of structures and practices to transition from early strategic planning initiatives to the current process. These were fully and explicitly integrated with the County's effort. The structures and practices were useful in achieving the transition and getting everyone in the department to begin thinking and acting strategically.

As we move into our third year of this strategic plan we are making further changes to the structure and practices used to get us started. We have narrowed and sharpened our strategic focus.

A Strategic Plan Executive Committee serves as the guiding coalition for the department's strategic planning efforts.

The role of CSS' Office of Strategic Planning has been continued to provide oversight, coordination and support to all strategic planning efforts and to serve as liaison with strategic partners, stakeholders, and constituents. An Office of Long Term Care Strategic Planning has been added to provide the same support to the Long Term Care Strategic Plan. A guiding coalition of program managers has been formed within the Office of Long Term Care Strategic Planning to share the labor intensive task of providing support to the Long Term Care Coordinating Council.

The 2003-2005 strategic planning and implementation structure is illustrated in Figure 1.



Figure 1

The Department and Long Term Care Strategic Plans are supported by action plans for each objective. The action plans are reviewed monthly by the Strategic Plan Executive Committee to ensure objectives are met and any needed support is made available.

Support, as needed, is also provided to ensure the WIB and CAB achieve their strategic planning goals, strategies and objectives.

2003-2005 CSS Strategic Planning Principles

The following principles guide our strategic planning process:

- Be and help others to be visionary.
- Think future - act today.
- See what we do from our clients', partners' and stakeholders' perspective.
- Collaborate with employees, partners and stakeholders.
- Achieve success through new relationships rather than new bureaucracies.
- Plan and act as one organization – no boundaries and no silos.
- Find a way to make everything we do seamless – there is no wrong door.
- Foster innovation at all levels of the organization.
- Build responsiveness into everything we do for everyone we serve.

County and Department Strategic Plan Alignment

The County's five strategic plan goals and associated strategies and objectives serve as a framework for the department and branch strategic plans.

Figure 2. illustrates how the County Strategic Plan goals, strategies and objectives cascade through the department with each employee assuming responsibility for implementation. It also illustrates how the County goals are used to ensure alignment of department's strategic plan and those developed by each of the Department's three branches – Aging and Adult Services, Employment and Training, and Administrative Services. Detailed Branch Action Plans show the specifics of how Branch strategies and objectives are being implemented. These roll up to the Department plan, which rolls up to the County Strategic Plan.

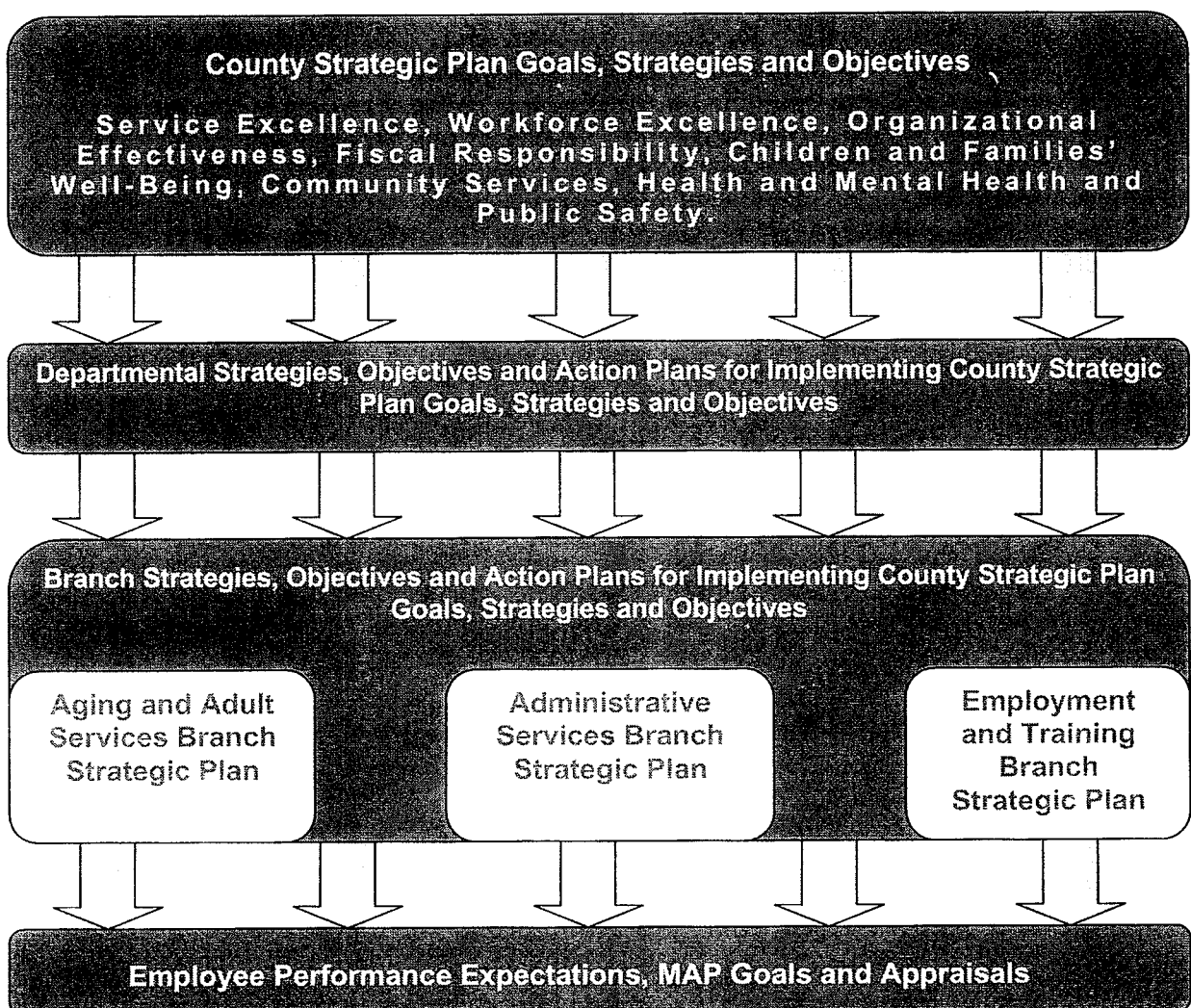


Figure 2.

Additional Strategic Planning Efforts within the Department

Our stakeholders have a standing invitation to participate in the strategic planning process, by commenting on the current plan, or suggesting additional priorities and objectives. Alternatively, they were asked to engage in a strategic planning process of their own, with Board or advisory body members. The Department pledged to consider including results from these efforts in the Department's strategic plan. Other major strategic planning efforts are currently underway within the Department. As these efforts mature they will be included in future updates to this Department Strategic Plan. These efforts include:

Countywide Long Term Care Strategic Plan

Los Angeles County will be facing an unprecedented growth in the number of older adults over the next 30 years. The Board of Supervisors has directed Community and Senior Services to implement a strategic planning process to prepare the County to effectively address the needs of its older adult and disabled adult residents. An unprecedented array of stakeholders came together on a monthly basis over the course of 18 months. Among these stakeholders were County departments, other public agencies, advocates, commissioners, service providers, and others. The plan presents a series of objectives that call for improvements in coordinated service delivery, case management, culturally/linguistically-appropriate services, advocacy for seniors and adults with disabilities, health care, mental health, home and community-based services, caregiver and kinship services, housing, and transportation. The Board of Supervisors approved the recommendations in the Long Term Care Strategic Plan on January 21, 2003. An Office of Long Term Care Strategic Planning was created and a guiding coalition of program managers formed to provide the Long Term Care Coordinating Council support implementing the plan.

Workforce Investment Board

The Workforce Investment Board (WIB) has developed and is implementing a strategic plan that is aligned and supports the department and County strategic plans.

Community Services Block Grant

The Community Action Board (CAB) has developed a strategic plan and has invited input from partners and stakeholders. The plan will be implemented in August 2003.

The Strategic Plan Matrix

The matrix consolidates the County, department and branch plans. It is used to ensure ongoing alignment of the plans. It is organized by County strategic plan goals, strategies and objectives. The objectives under Department and Branch plan are sequentially numbered for internal tracking and implementation purposes.

How to Read the Matrix

The three arrows in the example below identify the three levels of the strategic plan. A = The County Plan, B = The Department Plan. This hierarchy is repeated through the entire matrix.

A →	Goal 1: Service Excellence		Provide the public with easy access to quality information and services that are both beneficial and responsive.
	County Plan		
	Strategy 1: Develop standards for user-friendly service.		
	Objective	Description	Deadline
	1.1.1	Each department will develop one or two key service delivery standards.	1/1/01
		Each relevant program will have service standards.	1/1/02
	1.1.2	Each department will develop programs for customer service orientation for their employees.	7/1/01
	1.1.3	Each department will identify primary and secondary clients, as well as partners necessary to effectively meet client needs.	7/1/01
B →	Department Plan		
	D1.1.1	Each branch will promote seamless service among branches, foster a 'one department' work environment and develop internal service delivery standards to advance a "no wrong door" service philosophy.	1/1/02
	D1.1.2	All service delivery employees will be highly skilled in delivering customer service consistent with the CSS mission, vision and values.	7/1/01

Key: D=Department

Goal 1: Service Excellence		Provide the public with easy access to quality information and services that are both beneficial and responsive.
County Plan		
Strategy 1: By December 31, 2003 implement user-friendly service.		
Objective	Description	Deadline
1.1.1	Each department will identify all potential web-enabled services, and develop an action plan to make at least one new departmental service available on the Internet.	Completed
1.1.2	Each department will implement user-friendly service delivery standards for all major programs.	Completed
1.1.3	Each department will continue existing or implement new programs for customer service training for their employees that include core, standardized components.	12/31/03
Department Plan		
D1.1	Each branch will leverage existing information technology resources to ensure information technology is deployed in a way that improves public access to services and information while achieving optimal operating effectiveness and efficiency.	12/31/04
D1.2A	Each branch will assess the extent to which their services are seen as "user-friendly" by end users.	3/31/04
D1.2B	Each branch will develop and implement a plan to address any services seen by clients as not "user friendly."	12/31/04
D1.3	Each branch will ensure all employees receive refresher training in providing service excellence to internal and external customers including coworkers.	12/31/04
D1.4	Each branch will ensure that the public it serves has the information they need, when they need it to understand where we are headed, as well as why and how we plan to get there.	12/31/04
D1.5	All branches will support the Department's Implementation of the County's Long Term Care Strategic Plan according to the Board approved plan except as modified with the prior agreement of all parties.	12/31/04
D1.6A	Each branch will identify a cross branch process or program that can be made more seamless to the benefit of customers, partners or to improve its internal efficiency.	10/30/03
D1.6B	Each branch will develop and implement a plan to make identified cross branch processes or programs more seamless to the benefit of customers, partners or to improve its internal efficiency.	9/30/04
D1.7	Each branch will use the Performance Counts! principles and methodology to evaluate services based on results.	9/30/04

Goal 2: Workforce Excellence		Enhance the quality and productivity of the County workforce.
County Plan		
Strategy 1: By December 31, 2004 establish an employee development system that improves the quality of the workforce by linking training activities to identified individual and organizational needs.		
Objective	Description	Deadline
Department Plan		
D 2.1	Provide all employees the opportunity to become proficient in the core competencies required in the future.	Ongoing
D 2.2	Ensure employees occupying key positions are proficient in the core competencies required by their positions in the future.	Ongoing
D 2.3	Fill vacant openings with visionary people capable of implementing the County and Department strategic plan including the missions, visions and values.	Ongoing
County Plan		
Strategy 2: By July 31, 2004 begin implementation of an ongoing process for continuous improvement of the workplace environment and employee performance.		
Objective	Description	Deadline
Department Plan		
D2.2.1	Each branch will conduct an employee survey to assess the extent to which employees see their work environment positive and the extent all employees are living our stated values.	3/31/04
D2.2.2	Each branch will develop and implement a plan, based on survey results, to create a positive work environment.	9/30/04

Goal 3: Organizational Effectiveness		Ensure that service delivery systems are efficient, effective and goal oriented.
County Plan		
Strategy 1: By June 30, 2004 implement a countywide framework for performance measurement.		
Objective	Description	Deadline
3.1	By June 30, 2003 complete four performance measurement pilots with departments representative of the range of services provided by County departments.	Completed
Department Plan		
D3.1.1	Participate as one of four County departments in the Performance Counts pilot program.	Completed
D3.1.2	Fulfill the County requirement for Performance Counts.	6/30/04
D3.1.3	Each branch will identify opportunities to expand CSS' successful partnering principles and practices to every available opportunity.	12/31/04
D3.1.4A	The effectiveness and efficiency of internal operations will be assessed.	3/31/04
D3.1.4B	A plan will be developed to make needed improvement to internal effectiveness and efficiency.	4/30/04

Goal 4: Fiscal Responsibility		Strengthen the County's fiscal capacity.
County Plan		
Strategy 1: Manage effectively the resources we have.		
Department Plan		
D 4.1	All CSS administered programs will use Auditor Controller approved monitoring practices.	Ongoing

Goal 5: Children and families' well being.		Improve the well-being of children and families in Los Angeles County as measured by the achievements in the five outcome areas adopted by the Board: good health; economic well-being; safety and survival; social and emotional well being; and educational/workforce readiness.
County Plan		
Strategy 1: Coordinate, collaborate and integrate services for children and families across functional and jurisdictional boundaries.		
Objective	Description	Deadline
D5.1	The ILP will be implemented with comprehensive monitoring and its results measured using the Performance Counts! principles and methods.	6/30/04
Department Plan		
D 5.1.1	Include Family Resource Centers (FRC's) in Department program and service planning, and planning for the allocation of new funds.	Completed

Acronyms

AAA	-	Area Agency on Aging	OSP	-	Office of Strategic Planning
AASB	-	Aging and Adult Services Branch	PIF	-	Productivity Investment Fund
ADCRC	-	Alzheimer Day Care Resource Centers	REP	-	Refugee Employment Program
ADR	-	Alternative Dispute Resolution	RESS	-	Refugee Employment Social Services
AFDC	-	Aid to Families with Dependent Children	RFP	-	Request For Proposal
APS	-	Adult Protective Services	RITE	-	Refugee Immigrant Training and Employment
ASB	-	Administrative Services Branch	SWOT	-	Strengths, Weaknesses, Opportunities, Threats
CAA	-	Community Action Agency	TA	-	Targeted Assistance (Refugee Program)
CAB	-	Community Action Board	TANF	-	Temporary Assistance for Needy Families
CalWORKs	-	California Work Opportunity and Responsibility to Kids	TCM	-	Targeted Case Management
CBOs	-	Community Based Organizations	WIA	-	Workforce Investment Act
CAO	-	Chief Administrative Officer	WIB	-	Workforce Investment Board
CSAIBG	-	Community Services American Indian Block Grant	WDP	-	Workforce Development Project
CSBG	-	Community Services Block Grant	WTW	-	Welfare to Work
CSS	-	Community and Senior Services Department			
DA	-	District Attorney			
DART	-	Domestic Abuse Response Team			
DHS	-	Department of Health Services			
DOL	-	Department of Labor (Federal)			
DPSS	-	Department of Public Social Services			
DR	-	Dispute Resolution			
DV	-	Domestic Violence			
EDD	-	Employment Development Department			
ETB	-	Employment and Training Branch			
FRC	-	Family Resource Center			
GR	-	General Relief			
GROW	-	General Relief Opportunities for Work			
HHS	-	Health and Human Services (Federal)			
HICAP	-	Health Insurance Counseling and Advocacy Program			
HMO	-	Health Maintenance Organizations			
ICMP	-	Integrated Care Management Project			
ISD	-	Internal Services Department			
ISS	-	Internal Support Services			
IT	-	Information Technology			
JTPA	-	Job Training Partnership Act			
LAHSA	-	Los Angeles Homeless Services Authority			
LTFSS	-	Long Term Family Self Sufficiency			
MAPP	-	Management Appraisal and Performance Plan			
MAA	-	Medi-Cal Administrative Activities			
MIS	-	Management Information System			
MOU	-	Memorandum of Understanding			
NAIC	-	Native American Indian Commission			
OAA	-	Older Americans Act			

Appendix D: Councils and Commissions

Appendix D: Councils and Commissions

Consumer Advocacy & Special Events (CASE) - AAA Advisory Council & LA County Commission on Aging (LACCOA)

Commission/Council Committees	Program Manager	Purpose	Staff Support	Hours/ Month	Type of Work	Membership	Estimated Costs	Major Accomplishments
ANNUAL MEETING (AAA Council)	Laura Medina	Installation of new officers. Formal awards ceremony to acknowledge contributions & services of council members.	Carol Cabrera, CSA II	Annually 3 - 4 weeks	Coordinate and monitor the process. Develop planning strategies and assist committee chair in the annual event.	AAA Council	AAA: Volunteers OAA: Staff time/office supplies	
COMMUNICATION & INTERGENERATIONAL TASK FORCE	Laura Medina	Develop Network of Care website for the County of Los Angeles.	Rhonda Rangel	Monthly 4-8 hrs per month	Make meeting arrangements.	AAA Council	AAA: Volunteers OAA: Staff time/office supplies	Task force assignment completed. Completion of website deferred to CSS Administration.
ELDER ABUSE & FRAUD COMMITTEE APS, AAA Council and ACCOA	Pam Smith (Laura Medina)	Address needs of elderly individuals who are vulnerable to abuse and fraud.	Gloria Roman (APS) *Rhonda Rangel (CASE Staff)	Monthly 2-3 hrs per month	Encourages the development of resources through advocacy, education, training, public awareness, and the coordination of services/events. *Arrange for meeting room and assist in the meeting preparations	AAA & LACCOA: Representatives from public and private-non-profit agencies, and private citizens	AAA: Volunteers OAA: Staff time/office supplies	Care management outreach programs, Nursing Home Red Flag Project, Elder Abuse Prevention Month Outreach Project, joint project with Long-Term Care Committee to increase the number and quality of family councils in local nursing homes, and recommendations for the development of an elder abuse forensic center.
EMPLOYMENT TRANSPORTATION	Laura Medina	Address senior issues for senior employment in the Title V Program and transportation services in allowing seniors to remain independent.	Lynn Tran	Monthly 4 - 8 hrs per month	Assists in distributing agenda, meeting minutes, and other related handouts.	AAA Council & LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
HOUSING County/City	Laura Medina	Address housing issues for the senior community. Analyze causes for shortage of affordable housing for seniors. Propose corrective solutions to legislation.	Lupe Siva, CSA II	Monthly 5 - 14 hrs per month	Assist Event Chair. Schedule meetings, prepare and distribute agenda, minutes and roster. Arrange for meeting rooms. Develop and draft event documents and material. Prepare event requisitions. Coordinate mass mailings. Coordinate and arrange for set up of event activities.	AAA Council Housing forum: Joint efforts with	AAA: Volunteers OAA: Staff time/office supplies	2001 Housing Forum - Hall of Administration 2004 Housing Forum - 9/04 - Hall of Administration
LEGISLATIVE & ADVOCACY	Laura Medina	Analyze and track State, Federal Legislation. Advocates for seniors. Advise elected officials on the needs of the seniors. Research issues effecting	Carol Cabrera, CSA II	Monthly 4 - 8 hrs per month	Research State and Federal Legislation. Develop summaries, assessment and evaluation tools. Liaison with County Counsel for interpretation	AAA Council	AAA: Volunteers OAA: Staff time/office supplies	

Appendix D: Councils and Commissions

Consumer Advocacy & Special Events (CASE) - AAA Advisory Council & LA County Commission on Aging (LACCOA)

Commission/Council Committees	Program Manager	Purpose	Staff Support	Hours/ Month	Type of Work	Membership	Estimated Costs	Major Accomplishments
		seniors. Make recommendations on legislative issues to the AAA Council.			on legislative issues. Follow up and distribute legislative items. Coordinate mass mailings to elected officials.			
MEMBERSHIP OUTREACH	Laura Medina	Recruit new members and provide outreach on behalf of the council as referenced in the AAA Area Plan.	Carol Cabrera, CSA II	Monthly 4-8 hrs per month	Assist evaluating candidates. Coordinate orientation materials. Schedule meetings. Arrange for meeting rooms/ mass mailings.	AAA Council	AAA: Volunteers OAA: Staff time/office supplies	
NOMINATING COMMITTEE (AAA Council)	Laura Medina	Prepare slate of new officers. Review election process.	Carol Cabrera, CSA II	Annually 3-4 Wks	Assist council with general guidelines in the nomination process. Liaison with County Counsel regarding compliance with the Brown Act and other legal requirements. Schedule meetings and arrange for meeting rooms. Coordinate mass mailings.	AAA Council	AAA: Volunteers OAA: Staff time/office supplies	
NUTRITION	Laura Medina	Non CASE staff support	Sue Kennedy	Monthly		AAA Council	AAA: Volunteers OAA: Staff time/office supplies	
OLDER WOMEN'S ISSUES	Laura Medina	Improve quality of life for older women. Increase awareness of effectiveness and efficiency of current service delivery systems targeting older women.	Carol Cabrera, CSA II	Monthly 4-8 hrs per month Annual Event 3-4 Wks	Research issues that affect the livelihood and welfare of older women. Coordinate conference logistics and workshop activities. Schedule meetings and arrange for meeting rooms. Coordinate mass mailings.	AAA Council	\$4,255 (Committee rc'd \$500 in donations) AAA: Volunteers OAA: Staff time/office supplies	Annual Event: 2003 Conference - Senator Boxer featured speaker with approximately 300 in attendance. Workshops addressed health issues; financial management; legal services, and care-giving support services and information. 2004 Conference to be scheduled
SPEAKER'S BUREAU (AAA Council & LACCOA)	Laura Medina	Increase public awareness of the various services offered for seniors in the County of Los Angeles. Increase public awareness of the Advisory Council and LACCOA.	Rhonda Rangel,	Monthly 4-8 hrs per month as needed upon request	Conduct speaking engagements; make video presentations; and distribute literature. Arrange for Info Van to be present at each event. Maintain the event schedule.	AAA & LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
VETERAN'S AFFAIRS	Laura Medina	Non CASE staff support	Mike Juarez	Monthly		AAA Council	AAA: Volunteers	

**Appendix D: Councils and Commissions
Consumer Advocacy & Special Events (CASE) - AAA Advisory Council & LA County Commission on Aging (LACCOA)**

Commission/Council Committees	Program Manager	Purpose	Staff Support	Hours/ Month	Type of Work	Membership	Estimated Costs	Major Accomplishments
ANNUAL MEETING (LACCOA)	Laura Medina	General Business Meeting and Election of Officers. Installation of new officers. Formal awards ceremony to acknowledge contributions & community services.	Lynn Tran, CSA I	Annually 3 - 4 wks	Coordinate meeting and luncheon activities. Develop flyers; correspondence; program; and assist committee chair in the annual event. Coordinate payment of lunch tickets. Coordinate mass mailings. Arrange for completion of the LINK award.	LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
FINANCE	Laura Medina	Track AAA and LACCOA expenditures	Lynn Tran, CSA I	Monthly 8 - 16 hrs per month	Prepare finance reports. AAA: process monthly mileage to meetings and travel warrants LACCOA: process monthly stipend payments and travel expense claims	AAA & LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
GERIATRICS TASK FORCE	Laura Medina	Identify resources to fund a Geriatrics Nurse Practitioner Program at the Master's Degree level in the County of Los Angeles.	Lupe Silva, CSA II	Monthly 1-4 hrs per month	Assist Event Chair. Schedule meetings, prepare and distribute notice, agenda, minutes and roster. Arrange for meeting rooms. Coordinate mailings.	LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
HEALTH FAIR & SENIOR FESTIVAL	Laura Medina	Outreach to the senior community by providing an array of information on health enhancing services and free health screenings. Approximately 4,000 in attendance.	Lupe Silva, CSA II *Lynn Tran, CSA I ** Rhonda Rangel,	Annually Planning on-going: 6 months April - Oct	Assist Event Chair. Schedule meetings, prepare and distribute agenda, minutes, and roster. Arrange for meeting rooms. Coordinate mass mailings. Coordinate with Board office bus transportation for seniors. Develop and draft event documents and material. Prepare various event requisitions. Coordinate and arrange for set up of event activities. * Solicit program ads and exhibitors for the health fair. Coordinate receipt of exhibitor's booth fees. Assist making layout plans of exhibitors. **Volunteer Staff Coordinator. Solicit volunteers. Develop guidelines. Conduct training and orientation. Supervise volunteers' day of the event.	LACCOA; AAA Council; BOS and deputies and Representatives from ISD, DPSS, Parks & Rec, ISD, QEW Consultant; Geriatric Research Education Clinical Center; Golfland, BPACE; Forest Lawn, Beverly Hospital; Chicana Service Action Center; Delta Sigma Theta; FNMS, Inc.	\$65,820 LACCOA: Volunteers Apx. 20% generated through fundraising OAA: Staff time/office supplies	Annual Events: Health Fair & Senior Festival 2004 - District 3 - scheduled: 10/07/04 2003 - District 1 held 10/09/03 2000 - District 2 held 10/19/00 2000 - District 3 held 1999 2000 - District 4 held 10/11/01 2000 - District 5 held 9/19/02

Appendix D: Councils and Commissions

Consumer Advocacy & Special Events (CASE) - AAA Advisory Council & LA County Commission on Aging (LACCOA)

Commission/Council Committees	Program Manager	Purpose	Staff Support	Hours/ Month	Type of Work	Membership	Estimated Costs	Major Accomplishments
LINK NEWSLETTER AND WEBSITE	Laura Medina	Outreach to the senior community. Provide information on services and issues for the senior community.	Gwen Johnson, CSA III- out of class Proj Supervisor	Quarterly 8 - 16 hrs per month	Coordinate and review articles for publishing. Arrange for printing and distribution.	LACCOA	1,000 copies \$1,748 each quarter. LACCOA: Volunteers OAA: Staff time/office supplies	LINK Newsletter published quarterly.
OLDER AMERICANS RECOGNITION DAY (OARD)	Laura Medina	Honor senior volunteers in the provision of outstanding services to the community throughout the County of Los Angeles.	Lupe Silva, CSA II	Annually Planning on-going: 5 months Jan-May	Assist Event Chair. Schedule meetings, prepare and distribute agenda, arrange for meeting rooms. Coordinate mass mailings. Notify and follow up with mayors, city managers and senior community centers of event. Review and edit honoree bios. Solicit and coordinate program ads. Liaison with Board Deputies in ordering scrolls, drafting resolution and board motion and other event related items. Develop and draft event documents and material. Arrange for set up of event activities. Prepare event requisitions. *Coordinate ticket sells and receipt of monies. Coordinate mailing of tickets. Make seating assignments. **Volunteer Staff Coordinator. Solicit volunteers. Prepare correspondence and guidelines. Conduct training and orientation. Supervise volunteers' day of the event.	LACCOA	\$50,000 LACCOA: Volunteers BOS: Music Center Rental/Parking fees waived. OAA: Staff time/office supplies	Annual Event- Month of May: Each year, the Board of Supervisors present awards to honorees for outstanding volunteer services in their respective districts. Approximately 600 in attendance and is held at the Los Angeles County Dorothy Chandler Music Center. The 39th Annual OARD scheduled 5/26/04
TRANSPORTATION	Laura Medina	Provide throughout Los Angeles County information and resolve vital problems that face seniors on transportation issues.	Lupe Silva	Bi-Monthly 8 - 16 hrs	Assist Event Chair. Prepare and distribute agenda and minutes. Prepare flyers in multi-languages. Coordinate with management in processing the Consultant Contract. Coordinate consultant's payment process with MTA and Resource	LACCOA; BOS & Deputies; MTA; LA city Dot Transportation; Access Para-transit and other LA County	MTA Funded Project AAA: Volunteers OAA: Staff time/office supplies	Free-to-Go events conducted in each supervisorial district. Senior-on-the Move events conducted in three supervisorial districts, with two events to be completed in District 4 and 5 by

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Prepared by Gwen Johnson, Page D-4

Appendix D: Councils and Commissions

Consumer Advocacy & Special Events (CASE) - AAA Advisory Council & LA County Commission on Aging (LACCOA)

Commission/Council Committees	Program Manager	Purpose	Staff Support	Hours/ Month	Type of Work	Membership	Estimated Costs	Major Accomplishments
			*Steve Jaffee, Consultant		Development Corporation. Assist in the development of event materials and set up on the day of the event. *Consultant provides a range of services as the facilitator in coordinating the Seniors-on-the move events.	Transit Systems.		the end of June 2004.
NOMINATING COMMITTEE (LACCOA)	Laura Medina	Prepare slate of new officers. Review nominating process.	Lynn Tran, CSA I	Annually		LACCOA	AAA: Volunteers OAA: Staff time/office supplies	
HEALTH & LONG TERM CARE	Laura Medina	Focus on continuing health issues & services in Los Angeles County: mental and physical health. Managed care: Medi-care & Medicaid; Prescription Drugs Cost; Nursing Home Reform; and Hospital Trauma/ER financial crises.	Lupe Silva, CSA II	Monthly 4 - 6 hrs per month	Prepare agenda, minutes and other related material as needed. Coordinate special speakers. Take minutes, when needed.	Kaiser, Angeles Home Health Care Agency, Red Cross; DHS; UCLA, Korean Health Ed Ctr.; CMR, Inc.; Cal State - LA	AAA: Volunteers OAA: Staff time/office supplies	None

AAA = Area Agency on Aging
 LAA Council = Los Angeles County Area Agency on Aging Advisory Council
 APS = Adult Protective Services
 SOS = Board of Supervisors
 CAO = Chief Administrative Office
 JHS = Department of Health Services
 JMH = Department of Mental Health
 JSS = Community and Senior Services Department
 LACCOA = Los Angeles County Commission on Aging
 LAA = Older American's Act (Administration)

**Appendix D: Councils and Commissions
L.A. County WIB Support: YOUTH COUNCIL**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs
The purpose of the Youth Council is to provide expertise in youth policy and assist the WIB in developing and recommending local youth employment and training policies. The Youth Council will oversee the youth planning process, develop portions of the local plan relating to eligible youth, determine needs and gaps, research additional funding resources, recommend service providers and programs for funding based on a competitive process, monitor program outcomes, and coordinate youth activities, under the guidance of the WIB.	The Workforce Investment Act (WIA) legislation requires that a Youth Council be established as a subgroup of the WIB. This Council is comprised of 24 members 8 of whom are WIB members. The other 16 members are persons representing agencies (required and optional representatives) with interest in youth. Any WIB member may volunteer to serve on this committee.	Approved the development and release of a WIA Youth RFP soliciting youth providers for FY 2004/05. Held a Youth Council retreat and developed mission and vision statements. Approved the enrollment of Independent Living Program Skills Enhancement graduates into the WIA Youth Program. Approved funding for gap areas in the service of foster youth. Revised the Youth Sanction/Performance Policy by which providers are evaluated twice yearly.	Virginia Enriquez	Walter Bogaardt	Researches, develops documents (e.g. RFPs, informative, policy, procedures, etc.), & makes presentations at Youth Council meetings on a variety of youth related subjects.	25% of monthly hours.	Per meeting cost: \$1,320
				Tina Hoang	Researches, develops documents (e.g. RFPs, informative, policy, procedures, etc.), & makes presentations at Youth Council meetings on a variety of youth related subjects. Staffs ad hoc committees.	25% of monthly hours.	
				D. B. Quan	Researches, develops documents (e.g. RFPs, informative, policy, procedures, etc.), & makes presentations at Youth Council meetings on a variety of youth related subjects. Prepares documents pertinent to the Council's Operating Procedures & staffs ad hoc committees.	25% of monthly hours.	

**Appendix D: Councils and Commissions
L.A. County WIB Support: YOUTH COUNCIL**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs
				Mike Arredondo	Develops memos & makes presentations on State performance measures and data in the State's JTA System for ALL WIA programs, and ad hoc reports requested by the Council. Staffs the Sanction/Performance ad hoc committee.	30 to 35% of monthly hours because he takes care of ALL programs for both the Youth Council and WIB committees.	
				Patrick Malekian	Statistical analysis for ALL WIA programs, develops funding recommendations and analysis of the population needs based on census data. Staffs the Sanction/Performance ad hoc committee.	30 to 35% of monthly hours because he takes care of ALL programs for both the Youth Council and WIB committees.	
				William Skiles	Attends youth related conferences/seminars and other meetings & reports to the Council. Assists with development of RFPs.	15% of monthly hours.	
				Cathy Zelaya	Coordinates meetings, organizes and distributes agendas, records proceedings, creates minutes of meetings.	25 hours	

Appendix D: Councils and Commissions **L.A. County WIB Support: Quality Improvement and Financing Committee**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
The Quality Improvement and Financing Committee recommend policy to the WIB and monitor WorkSource Centers' performance to ensure all Centers meet the standard of WorkSource California. The following details their purpose:	Description of the Joint Committee The Quality Improvement and Financing Committee have two co-chairs:	❖ Developed the purpose and goals of the committee ❖ Improved the quality of services through job seeker and employer focus groups feedback.	Maggie Mireles	Sandra Miller	Coordinate and track assignments resulting from meetings and perform other assignments as required	12 Hours	Per Meeting Cost: \$300
The Quality Improvement Committee shall:	One representing Quality Improvement and the other representing Financing.	❖ Established a cap on Individual Training Accounts (ITAs)		Angela Gentry	Prepare reports and make presentations, research and email committee members and perform other assignments as required	20 Hours	
Gather customer data and use it for continuous process improvement		❖ Continued to maintain universal access standards at each Work-Source Center		Cathy Zelaya	Coordinate calendar, prepare and distribute agenda, reformat agendas for disabled member, records and transcribes minutes, schedule meeting room, perform other assignments as required	30 Hours	
Carry out the strategic planning functions for the Workforce Investment Board (WIB), including examination of different populations and their needs in the planning functions	There are 5 other members for a total of 7 members.	❖ Incorporate amendments in the WorkSource Center		Bertha Urrutia	Prepare reports and other materials for focus group items. Coordinate information with facilitators, contact centers to schedule focus groups, communicate information to facilitators and center contacts by phone and email	10 Hours	
Develop the yearly consumer report card.							

Appendix D: Councils and Commissions
L.A. County WIB Support: Quality Improvement and Financing Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
<p>Develop outcome measures beyond customer satisfaction, collect the data and makes recommendations to the full board on improvements required to meet or exceed all measures of success.</p> <p>Develop the "blue print" for the infrastructure needs of a world-class one-stop system.</p> <p>Identify the competencies required to work within an integrated workforce development system and develops the training plan to ensure all staff is proficient.</p> <p>The Financing Committee shall:</p> <p>Develop new sources of funds to carry out the work of the WIB. Oversee the financial stability of the organization.</p>		<p>Certification Policy to include Older Workers and other groups required by law</p> <p>Continued to enhance assisted technology and ancillary services for people with disabilities through the adoption of the Navigator Project and adopting policy for each Center to have a Disability Coordinator</p> <p>Improved customer data reports: Customer Satisfaction Survey Summaries, Media Tracing Summaries, Core A Customer Tracking, and Outreach Tracking Reports</p>	Maggie Mireles				

Appendix D: Councils and Commissions
L.A. County WIB Support: Quality Improvement and Financing Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
<p>Monitor the allocation of resources to the One-Stops and affiliate sites.</p> <p>Consider the formula for determining the worth of an Individual Training Account (ITA) and make recommendations to the full WIB.</p>		<p>Approved WIB De-obligation and Re-obligation policy for the Adult and Dislocated Worker</p> <p>The Asian Pacific Islander Mini-Career pilot satellite project approved and RFP is in process</p> <p>Monitored Centers performance and LACOP WIA performance, overall</p> <p>Increased collaboration and reporting efforts with the State EDD offices at the State level and at WorkSource Centers</p>	Maggie Mireles				

Appendix D: Councils and Commissions
L.A. County WIB Support: Quality Improvement and Financing Committee

		<p>MOU's completed with mandatory and non-mandatory partners (still pending)</p> <p>Establishment of a joint Ad Hoc Committee to address the technology needs of the WorkSource Centers approved</p>	<p>Maggie Mireles</p>		
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Appendix D: Councils and Commissions

L.A. County WIB Support: Financing and Quality Improvement Committee – Workforce Development Taskforce

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs
<p>Develop methodology for the allocation of P/Y 04-05 funding that will ensure the continuation of quality Workforce Investment Area services, as well as, maintain system integrity.</p> <p>Identify service strategies that will benefit the residents of Los Angeles County and customers with Special Needs.</p> <p>Complete the Workforce Development Taskforce Transition Plan for the Los Angeles County Workforce Investment Board for funding recommendations.</p>							

Appendix D: Councils and Commissions

L.A. County WIB Support: Financing and Quality Improvement Committee – Workforce Development Taskforce

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs

Appendix D: Councils and Commissions

L.A. County WIB Support: Financing and Quality Improvement Committee – Workforce Development Taskforce

		<p>Their final recommendation to the WIB were:</p> <p>❖❖ The County of Los Angeles used the 2000 Census data to determine the funding allocation for PY 04-05 for the Five Supervisorial Districts</p> <p>❖❖ To satisfy the <u>mission</u> of the Taskforce to ensure delivery of services to the residents of Los Angeles County, the WIB should instruct the County to provide funding for the Special Needs Contractors in the PY 04-05 funding allocations</p>	Maggie Mireles					
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L.A. County WIB Support: Financing and Quality Improvement Committee – Workforce Development Taskforce

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Appendix D: Councils and Commissions
L.A. County WIB Support: MATURE WORKER COUNCIL

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs
To increase meaningful employment opportunities for mature workers so that they achieve economic security and independence	<p>This Council was formed at the discretion of the Los Angeles County Workforce Investment Board</p> <p>It consists of 14 members</p> <p>8 members represent agencies with special interests in mature workers issues</p>	<p>❖Committee members secured</p> <p>❖Mature Worker defined</p> <p>❖Mission Statement drafted</p> <p>❖Goals drafted</p> <p>❖Surveys drafted</p>	Maggie Mireles	Saundra Miller	<p>◆Coordinate and track assignments resulting from meetings</p>	12 Hours	<p>Facilitator</p> <p>Food</p> <p>Paper Supplies</p> <p>Copying</p> <p>MIS staff time</p> <p>Microsoft technical staff time</p> <p>Grant writer staff</p> <p>Time (proposed)</p> <p>Training and Work-</p> <p>Shops (proposed)</p> <p>Conferences (proposed)</p>
	<p>WIB members may volunteer to serve on this Council</p>		Maggie Mireles	Angie Gentry	<p>◆Prepare reports</p> <p>◆Make presentations</p> <p>◆Research</p> <p>◆E-mail committee</p> <p>◆Perform other duties as required</p>	16 Hours	

**Appendix D: Councils and Commissions
L.A. County WIB Support: MATURE WORKER COUNCIL**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per month	Other Costs
				Cathy Zelaya	<ul style="list-style-type: none"> ◆ Coordinate calendar ◆ Prepare agendas and reports ◆ Serve as parliamentarian ◆ Schedule meeting room ◆ Prepare hardcopies ◆ Mail agendas and minutes to committee members ◆ Perform other duties as required 	20 Hours	
			Maggie Mireles	Bertha Urrutia	<ul style="list-style-type: none"> ◆ Develop Survey ◆ Research Mature Worker issues ◆ Develop reports ◆ Perform other duties as required 	10 Hours	

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Legislative Action Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
<p>Educate the congressional representatives on the Workforce Investment Act, on the role of the Workforce Investment Boards, and on the services provided at the WorkSource Centers.</p> <p>The Legislative Action Committee will identify critical issues and present recommendations to the WIB's Fast-Track Approval Committee for review and final approval, if an approved policy is in place. In the absence of an approved policy, the usual procedure for final approval of the WIB or its Executive Committee must be adhered to.</p> <p>Prepare Legislative Reports for the WIB.</p>	<p>Any WIB member may volunteer to serve on this committee. This is an 8-member committee.</p>	<p>1 – Coordinated efforts to retain the Los Angeles Air Force Base in Los Angeles County. 2-Guided the WIB's response to President Bush's new Job Training and Education Initiatives. 3-Meet with 15 congressional leaders and staff in Washington, D.C. in March 2004 to discuss workforce development matters of interest to the WIB.</p>	<p>Josie Marquez, Asst. Dir.</p>	<p>Vera Castillo</p>	<p>Conducts research, writes and presents Legislative Reports to the full WIB, Executive, and Legislative Action Committee.</p>	<p>12 hours</p>	<p>Meeting cost: \$300/meeting</p>
				<p>Cathy Zelaya</p>	<p>Coordinates meetings, develops agendas, records proceedings, creates minutes.</p>	<p>20 hours</p>	

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Fast Track Approval Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Amount of Time (Hours) Spent on each Council's Work (per month)	Other Costs
<p>The Fast-Track Approval Committee was established for situations when swift responses are needed and when it is not possible to bring a proposal before a scheduled WIB or Executive Committee meeting due to time constraints.</p> <p>Once the Fast-Track Approval Committee has approved action on a particular item, there is no need for further approval by the Executive Committee or the WIB, if an agreed-upon policy is in place. However, Committee reports will be submitted to the WIB for its information.</p>	<p>This committee was formed at the discretion of the WIB and comprises: The WIB Chair, Chair of the Legislative Action Committee, and the Chair of the relevant standing committee.</p>	<p>Reviews and approves time-sensitive items that require urgent attention before the next board or Executive Committee meeting</p>	<p>Josie Marquez, Asst. Dir.</p>	<p>Program Managers and Unit Staff</p>	<p>Researches, develops documents and makes presentations at meeting on time-sensitive items that require urgent attention before the next board or Executive Committee meeting</p>	<p>Sporadic meetings 10 hours per instance</p>	
				Cathy Zelaya	Coordinates all meetings, develops agendas, records proceedings, creates minutes.	20 hours	

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Financing/Quality Improvement – Asian Pacific Islander (API) Taskforce

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
On December 3, 2002 Supervisor Antonovich, seconded by Supervisor Knabe, unanimously carried, the Board took the following actions: Adopted the Director of Community and Senior Services' attached recommendations; and To determine the feasibility of developing a pilot program in the Fifth Supervisorial District in which a satellite office is created in the San Gabriel Valley region to address the employment needs of the CalWorks participants, including the non-English speaking population	5 WIB Members 5 COB's currently not receiving WIA funds Affected Cities (9 seats) Asian Pacific Community Council to identify one representative	❖ Development of short term objectives ❖ Development of long term objectives ❖ Establish goal of Taskforce ❖ The parameters ❖ Interested parties ❖ Allotted seats (membership) ❖ Establish timeline of no more than six months January 03 – February 04) ❖ Identify target population for such a satellite	Maggie Mireles	Sandra Miller Karen Herberts Angela Gentry Patrick Malekian Michael Arredondo Kathy Newton Facilitator Paul Obney	<p>◆Scheduling and notification of meetings</p> <p>◆Agendas</p> <p>◆Minutes</p> <p>◆Xeroxing</p> <p>◆Research</p> <p>Presentation of Feasibility Study for Creation of Satellite</p> <p>◆Report on integrating WorkSource Centers and Special Needs Agencies</p> <p>◆Maps</p> <p>◆Residency analysis of Special Needs Contractors</p> <p>◆Performance information of WIA and Special Need Contractors</p> <p>◆Data on Non-English speaking in API population</p>	There were 7 meetings – lasting from an hour and a half to two hours	Facilitator Materials Mailings Travel Food Addition time spend for formatting for blind WIB member

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Financing/Quality Improvement – Asian Pacific Islander (API) Taskforce

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
		<p>❖ The sub-committee agreed on the feasibility of a satellite in the Fifth District to address the employment needs of the CalWorks participants, including the non-English speaking population</p> <p>❖ Approve Model of Special Needs Mini-Center as model for API Satellite</p> <p>❖ Make final presentation to the WIB of the results from the study conducted by the API Taskforce</p>	Maggie Mireles	<p>Saundra Miller</p> <p>Karen Herberts</p> <p>Angela Gentry</p> <p>Patrick Malekian</p> <p>Michael Arredondo</p> <p>Kathy Newton</p> <p>Facilitator Paul Obney</p>	<p>◆ Information requested from Employment Department on labor market information regarding API population</p> <p>◆ Survey of languages spoken by staff assisting customers in the resource room</p> <p>◆ Data on percentage of Asian clients in high concentration areas/new reports</p> <p>◆ What is a Satellite (affiliate) to the Los Angeles County WorkSource Center</p> <p>◆ Update to members of the Taskforce on information regarding API Taskforce</p>		

**Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Executive Committee**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
<p>The Executive Committee has the same level of authority as the full WIB Board, except that it cannot amend the By-Laws. This Committee meets each month that the full Board does not meet to consider items forwarded from the sub-committees. In addition to other responsibilities assigned by the Board of Directors, the Executive Committee shall, either independently or, in its discretion, in conjunction with other committees, investigate all allegations of WIB program fraud, abuse, misconduct or other irregularities (e.g., non-compliance with WIB approved fiscal or program policies) raised or lodged by any member of the WIB.</p>	<p>The WIB By-laws stipulate that the majority of the Exec. Committee shall be persons who are representatives of the private sector and who meet the qualifications of Section 117 of WIA as amended. This 14-member committee includes: the Chairperson; the Vice-Chairperson; Secretary; Treasurer; Chairpersons of all standing committees of the WIB; the past WIB Chairperson; and four directors at large appointed by the Chairperson.</p>	<p>Refer to accomplishments of Sub-committees.</p>	<p>Josie Marquez, Asst. Dir.</p>	<p>Program Managers and Unit Staff; WIB Support Unit</p>	<p>Forwards items (to Consent Calendar) requiring approval from sub-committees; Researches, develops documents and makes presentation at meeting on a variety of program and admin-related matters.</p>	<p>Program Managers & Unit Staff:</p>	<p>Per Meeting Cost: \$1,900</p>
						<p>30 hours</p>	

Appendix D: Councils and Commissions APS Commission/Council Support

Commission/Council/ Board or Committee	Program Manager	Purpose	Staff Support	Hours Per month	Type of Work	Membership	Costs	Major Accomplishments
Residential Care Safety Task Force	Pam Smith	To ensure safety of mentally ill or elderly residents of unlicensed board and care facilities.	Lynda Shapiro, Azxicia Ulloa, Denise Traboulsi, Sandle Einbinder, and other APS staff as needed.	Varies. 8 - 24 hrs per month initially	Initial development of countywide interagency protocols for handling situations involving unlicensed facilities. Development of internal policies and procedures, including printing materials and training staff.	Representatives from DMH Patient's Rights and Psychiatric Mobile Response, the CAO, County Counsel, CDSS Community Care Licensing, LASD, Probation, DHS Environmental Health and Alcohol and Drug Services, Public Works, Building and Safety, Regional Planning. Others to be added include Ombudsman and District Attorney.	Unknown at this time	APS involvement dates back to August 2003. Development of the following documents in draft form: ✓ Resource directory for first responders; ✓ Reference guide depicting each agency/program's procedure pertaining to the subject matter.
Treasurer-Tax Collector Project	Pam Smith	To save properties for elder/dependent adult homeowners whose homes are subject to auction due to non- payment of property taxes.	Pam Smith Lynda Shapiro Richard Franco Thomas Jenkins	4 hours 8 hours 12 hours 40 + hours on-going: unknown	Develop and maintain outreach program to explain to homeowners their homes are in jeopardy of being sold, and to refer them to programs available to help them.	Representatives from the Treasurer-Tax Collector and the Department of Consumer Affairs.	\$12,100 + for the first round. Services will be provided once or twice/year.	Services were provided to more than 200 elders/dependent adults.
Financial Abuse Specialist Team	Pam Smith	Multi-disciplinary team approach to assist elder/dependent adult victims of financial abuse/exploitation.	Lynda Shapiro Richard Franco Leamon Scott 14 Supervisors 14 Social Workers	4 hours 12 hours 20 + hours 4 hours @ 4 hours @ plus 6 hours to prepare case presentati ons	Consultation and training team meets monthly to strategize and develop a coordinated plan to recover and/or prevent further loss of assets of elder and/or dependent adult victims of financial exploitation.	Representatives from public agencies such as LAPD, LASD, LADA, LACA, DMH (GENESIS, OPG), LTCO, DHS, as well as private practitioners such as bankers, real estate agents, professional fiduciaries, private conservators, mental health clinicians, lawyers, etc.	\$0 Participati on is voluntary; time is in- kind donation.	Prevention of over a quarter of a million dollars in loss to APS clients.
High Risk Physical Abuse Case Conferences	Pam Smith	Multi-disciplinary team approach to assist elder/dependent adult victims of severe physical abuse.	Lynda Shapiro Richard Franco Leamon Scott 2 Supervisors 14 Social Workers	2 hours 6 hours 20+ hours 2 hours @ 2 hours @ plus 6 hours to prepare case	Consultation and training team meets bi-monthly to strategize and develop a coordinated plan to protect and reduce/eliminate risk to elder and/or dependent adult victims of severe physical abuse or neglect.	Representatives from public agencies such as LAPD, LASD, LADA, LACA, DMH (GENESIS, OPG), Probation, Domestic Violence Council, as well as private practitioners such as mental health clinicians, legal aid associations, and the domestic violence community.	\$0 Participati on is voluntary; time is in- kind donation.	Additional safety measures have been put into place for approximately one dozen APS clients. This team has also been strengthened by the addition of new members from law enforcement and from LADA.

Appendix D: Councils and Commissions APS Commission/Council Support

				presentations				
Community based Elders-at-Risk Multi-disciplinary Team Case Conferences	Pam Smith	To address the needs of caseworkers struggling to manage increasingly complex situations of elder/dependent adult abuse in the community.	Richard Franco Leamon Scott 14 Supervisors 28 Social Workers	4 hours 40 hours 4 hours @ 4 hours @	Eight MDTs were established throughout the County, one in each SPA, to develop closer ties between the various public and private-non-profit professionals dealing with issues of endangerment of elders and dependent adults. Any member agency is invited to bring to this forum case situations they are unable to resolve alone.	Representatives from public agencies such as LAPD, LASD, LADA, LACA, DMH, LTRCO, DHS, as well as community based private-non-profit agencies, hospital social services staff, legal aid associations, and others dealing with this target population.	\$0 Participation is voluntary; time is in-kind donation.	Many APS case situations have been resolved in these MDT forums. In addition, new services and programs are sometimes developed through this system. A project currently underway one of these MDTs is "Getting Around," a program being developed to provide counseling and alternate transportation services for seniors who have to give up their drivers license.
Elder Abuse and Fraud Committee (AAA Advisory Council)	Pam Smith	To address the needs of elderly individuals who are vulnerable to abuse and fraud	Gloria Roman	2-3 hours	Encourages the development of resources through advocacy, education, training, public awareness, and the coordination of services/events.	Representatives from public and private-non-profit agencies, and private citizens	\$0 Participation is voluntary; time is in-kind donation	Care management outreach programs, Nursing Home Red Flag Project, Elder Abuse Prevention Month Outreach Project, joint project with Long-Term Care Committee to increase the number and quality of family councils in local nursing homes, and recommendations for the development of an elder abuse forensic center.

LEGEND:

AAA = Area Agency on Aging
 APS = Adult Protective Services
 CAO = Chief Administrative Office
 CDSS = California Department of Social Services
 DHS = Department of Health Services
 DMH = Department of Mental Health
 GENESIS = Geriatric Evaluation Networks Encompassing Services, Information, and Support
 LACA = Los Angeles City Attorney
 LADA = Los Angeles District Attorney
 LAPD = Los Angeles Police Department

**Appendix D: Councils and Commissions
APS Commission/Council Support**

LASD = Los Angeles Sheriff's Department
LTCO = Long Term Care Ombudsman
MDT = Multi-Disciplinary Team
OPG = Office of the Public Guardian SPA = Service Planning Area

**Appendix D: Councils and Commissions
Business Services/Marketing Committee**

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
Develop linkages with the region's economic development efforts and conduct labor market research (possibly through contracting).	This is a 13-member committee, including 2 Youth Council members appointed at the discretion of the WIB for the purposes stated. Any WIB member may volunteer to serve on this committee.	In an effort to increase connectivity with business community, CSS has placed advertisements in business resource guides of the Small Business Administration and the Greater LA Chamber of Commerce. Other advertising has included the San Gabriel Valley Newspapers, and the Los Angeles Business Journal.	Geraldo Rodriguez	Grace Sanchez Jennifer Valdez Carmen deArce	Work consists of: Research and analysis; Development of reports, memos and other technical documents; Meetings with representatives of other LA County Departments and local governments, WorkSource Centers, and Advertisers to discuss various marketing projects and activities; and Set-up and staff marketing events.	Staff's time combined conducting committee related work: Full WIB -- Preparation and Attendance -- 23 hrs. Business Services and Marketing Committee -- Preparation and Attendance -- 48 hrs. Executive Committee - Preparation and Attendance -- 24 hrs. Youth Council -- Preparation and Attendance -- 6 hrs.	Per Meeting Cost: \$300.00
Use employer customer data from the Quality Improvement Committee (QIC) to design services for employers, including labor market information.		Marketing pieces have also been developed for the WIA Youth Program, the LAC+USC Medical Center Replacement Project and special community events					
Validate industry-skill standards and feed them to the QIC for use in the application process.		Staff has worked the WIB's booth space at various Workforce Development, job fair, and business events.					
Develop the marketing message to customers, constituents and stakeholders.		Staff have Worked cooperatively with LAEDC and other economic development agencies to address local business needs			Promote the WIBs policies regarding business services to WSCs via Regional Implementation Forums with business reps from each of the WSCs.		
Market new products and services		Targeted market outreach to specific industries, with the assistance of LAEDC and EDD partners. Staff have conducted/ participated in various business events and workshops on behalf of the WIB.					

**Appendix D: Councils and Commissions
Business Services/Marketing Committee**

Purpose of Committee/Council developed by the standing committees.	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
		<p>Developed and Implemented business services performance measures and reporting process</p> <p>Developed and implemented a 1% business services set-aside process to capture information for WIB reports.</p>		Cathy Zelaya	Coordinates meetings, develops and distributes agendas, records proceedings, creates minutes of meetings.	25 hours	

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Certification/Recertification Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
Develop the Quality Standards required to become certified as a WorkSource Center or an affiliate site, and design for becoming certified as either a WorkSource Center (One-Stop) or an affiliate.	This is a 7-member committee. Any WIB member may volunteer to serve on this Committee.	❖ Development and implementation of WorkSource Center Recertification Assessment Instrument ❖ Recertification of 10 WorkSource Centers ❖ Development and implementation of Spot/Check system to verify customer satisfaction, core service and media tracking data submitted by WorkSource Centers	Maggie Mireles	Sandra Miller	<ul style="list-style-type: none"> ◆ Provision of technical assistance to WorkSource Centers on Recertification process ◆ Conduct Recertification on-site reviews ◆ Review of recertification technical assistance reports and Cert/Recert Committee agenda items ◆ Attend Certification/Recertification Committee Meetings 	25-30 Hours	Per Meeting Cost: \$300
Review applications and renewals and ensure that facilities meet the quality standards before being certified as a WorkSource Center (One-Stop) or an affiliate site.							
Notify the WIB when WorkSource Centers (One-Stops) are certified.							

Appendix D: Councils and Commissions
COMMITTEE/COUNCIL: Certification/Recertification Committee

Purpose of Committee/Council	Description of Committee/Council	Major Accomplishments Within Last 12 Months	Program Manager	Support Personnel	Work Performed by Support Staff	Approx. Hours Per Month	Other Costs
			Maggie Mireles	Angela Gentry	<ul style="list-style-type: none"> ◆ Development of Recertification Assessment Instrument ◆ Provision of technical assistance to WorkSource Centers on Recertification process ◆ Conduct Recertification on-site reviews ◆ Completion of Recertification technical assistance reports ◆ Completion of Certification/Recertification Committee agenda items ◆ Attend Certification/Recertification Committee Meetings 	25-30 Hours	
				Cathy Zelaya	<ul style="list-style-type: none"> ◆ Preparation and distribution of Certification/Recertification Committee Agendas ◆ Records and prepares minutes ◆ Set-up of meeting venue 	20 Hours	
				Kathy Newton	<ul style="list-style-type: none"> ◆ Conduct spot/check visits ◆ Support staff on recertification on-site visits, verification of supporting documentation 	10 Hours	

Appendix D: Councils and Commissions CSBG

Information Regarding the Community Action Board (CAB)

1. Please list each board within your staff: Community Action Board (CAB). See attached.

2. For each board please provide the following:

a. Name of Program Manager responsible

May Kingi, Chief of Community Services Division

b. Purpose of Board (to whom do each report or advise and for what purpose?)

The County Board of Supervisors (BOS) and the CAB work together to combat poverty in the communities of Los Angeles County. The CAB oversees the Community Action Agency (CAA) and its programs, and makes recommendations regarding them to the BOS.

c. Names of personnel in your branch who provide on-going support to this Board

Patricia Ramirez – CAB Coordinator

May Kingi, Tom Sellars, Tham Nguyen, Michael Yamashige, Mae Evans and Paul Harris regularly provide informational and administrative support to the CAB.

There is also currently a full-time temporary associate, Emma Dumont, who has been brought on to ease the transition between CAB Coordinators.

d. Approximate amount of time each of the above persons spends per month (hours) on this Board

Patricia Ramirez works full time - 40 hours a week, approximately 160 hours a month - as the CAB Coordinator.

From January 15 – May 13 Emma Dumont has worked full time – 40 hours a week approximately 160 hours a month – as the CAB Assistant.

May Kingi, Tom Sellars, Tham Nguyen, Michael Yamashige, Mae Evans and Paul Harris each spend about 2 to 4 hours a week supporting the CAB. 6 individuals x 2 to 4 hours (12 to 24 hours) a week x 4 weeks = an additional 48 to 96 hours a month in support.

Appendix D: Councils and Commissions

CSBG

e. In general, the type of work performed

In advocating for the low-income people of Los Angeles County, the CAB and its staff organize rallies and visits to public officials. To support the growth and development of our funded agencies, we research and bring to our monthly meetings presenters from other organizations that offer useful services at low or no cost. During Request-For-Proposal processes, CAB members assist in evaluating proposals and making funding recommendations to the Board of Supervisors. We also develop relationships with other county departments and commissions, private sector organizations and external non-profits to expand resources and funding for low-income people.

f. Brief description of board membership, how they are chosen or appointed and by whom

CAB is mandated by state regulations to be a tripartite board composed of the following types of members:

Five (5) Public Sector Representatives are appointed by the County Supervisors, one representative per supervisorial district.

Five (5) Low-Income Sector Representatives are elected to represent the poor of their supervisorial district by a petition that must be signed by ten (10) people who live in that district and meet the CSBG poverty guidelines.

Five (5) Private Sector Representatives are selected by the members of the CAB from a list of organizations broadly representing the community in areas such as education, business, industry, labor, or religion.

g. Other costs (other than staff time) involved in support of the board

Media – we publish annual success story booklets, and create packets with information for visits to elected officials.

Travel & training – we regularly send board members to relevant conferences and trainings, and to meet with elected officials at the local, state, and national levels.

Food – we occasionally provide food for scheduled board meetings.

Events – in order to bring attention to the plight of the poor and the working poor we have rallies, celebrations, and other public events.

Appendix D: Councils and Commissions

CSBG

3. Please list the major accomplishments of the board within the last 12 months

We held a rally on the steps of the Los Angeles City Hall in May 2003 that brought over 700 participants including L.A. City Council President Alex Padilla, State Senator Richard Alarcon, and actor Ed Begley Jr.

Our recent partnership with Albertsons will allow members of the community to swipe a card whenever they make purchases at an Albertsons and have a certain portion of their purchases automatically donated to Community Action and its activities for the low-income residents of L.A. County.

During the National Community Action Foundation conference in DC in March 2004, CAB members visited the offices of 10 members of Congress.

CAB sponsored an individual who went through one of our programs to go to a Community Action Rally in Sacramento to talk about his struggles and receive recognition for his successes.

We received additional funding for the storm and fire disaster victims.

We contracted to provide CSBG agency network technical expertise in developing each agency's capacity in grants writing, alternative sources of revenue development, media relations, etc.

Appendix E: Program Funding Matrix

The following spreadsheet was compiled by CSS's Program Accounting division in response to blueCONSULTING's request for a comprehensive listing of programs by funding source.

Appendix E: Program Funding Matrix

Abbreviations

- CDA = California Dept. of Aging
 CSS = County Dept. of Community and Social Services
 DCFSS = County Dept. of Children's and Family Services
 DPSS = County Dept. of Public Social Services
 EDD = California Employment and Development Dept
 ISD = County Internal Services Dept.
 WIA = Workforce Investment Act
- Legend:**
 I- Department of Labor, Employment Development Department, County Dept/MOU (DCFS, DPSS, etc.)
 II- State, Federal, County, etc.
 III- Sub-Grant Agreement #/MOU/Grant # : Amount Funded
 IV- Program Type (Ex: WIA Youth, WIA Dis, Aging, DV, etc.)
 V- Program Manager's Initials
 VI- General Purpose (Ex: Provide funding to domestic violence clients in LA County)
 VII- Effective Period of Grant
 VIII- Fiscal 2002-03 Funding (Total Award: Allocation (ref. original Board Letter))
 IX- Expenditure Information
 X- Target Population

I Awarding Agency	II Type	III Grant #	III Grant \$	IV Program Type	V Program Manager	VI General Purpose of Program	VII Term of Funds		VIII Funding Information				IX FY 2002-2003		X Target Population
							Beginning	Ending	FY 2002-03 Award	CSS Admin	CSS Program	CBO Contracts	FY 2002-03 Expended	Remaining	
Senior Programs/Area Agency on Aging (AAA)															
CDA	Federal/State	FF0203-19	18,854,443	Title III/II	L Medina	SUPP SVCS/NUTRITION SERVICES	07/01/02	06/30/03	\$18,854,443	\$1,110,136	\$1,223,694	\$16,520,613	\$14,477,812	\$4,376,631	Seniors
CDA	State	CB0203-19	1,786,591	CBSP - Community Bases Services Program	L Medina	SUPPORTIVE SVCS	07/01/02	06/30/03	\$1,786,591	\$151,406		\$1,635,185	\$1,697,514	\$89,077	Seniors
CDA	Federal	FC0203-19	3,173,182	TITLE III E	L Medina	SUPPORTIVE SVCS (Counseling, Case Mgmt, Training, Support Groups)	07/01/02	06/30/03	\$3,173,182	\$199,535	\$235,000	\$2,738,647	\$2,237,838	\$935,344	Seniors
CDA	Federal/State		2,371,918	TITLE V	G. Vargas	SENIOR EMPLOYMENT Services for functionally impaired older adults.	07/01/02	06/30/03	\$2,371,918	\$147,906	\$240,347	\$1,983,665	\$2,371,918	\$0	Seniors
DPSS	MOU	DSH2311	2,600,000.0	APS	L Medina		07/01/02	06/30/03	\$2,600,000			\$2,170,713	\$2,170,713	\$429,287	Seniors
Employment and Training															
EDD	Federal/ WIA	R380510 (635)	\$ 3,400,000	Healthcare Grant	G. Rodriguez	Provide Employment Svcs. To Adults- Health Industry workers	04/01/02	06/30/04	\$3,400,000	\$340,000		\$3,060,000	\$3,400,000	\$0	Adults- Healthcare Industry
EDD	Federal/ WIA	R380510 (503)	\$ 38,916	Dislocated Workers	M. Mireles	Provide Employment Svcs. To Dislocated Workers	10/01/02	06/30/02	\$38,916	\$0		\$0	\$0	\$38,916	Dislocated Worker
EDD	Federal/ WIA	R380510 (543)	\$ 505,000	Rapid Response - Actor Fund	G. Rodriguez	Dislocated Workers-Entertainment Industry workers	10/01/02	12/31/04	\$275,000	\$25,000		\$250,000	\$289,333	\$5,667	Entertainment Industry
EDD	Federal/ WIA	R380510 (113)	\$ 60,337	Incentive Award	M. Mireles	Provide Employment Svcs. To Adults	07/01/02	06/30/05	\$60,337	\$0		\$60,337	\$0	\$60,337	Adults
EDD	Federal/ WIA	R380510 (201 & 202)	\$ 15,819,390	Adult Formula	M. Mireles	Provide Employment Svcs. To Adults	07/01/02	06/30/04	\$18,178,234	\$1,782,763		\$16,395,471	\$16,470,081	\$1,708,153	Adults
EDD	Federal/ WIA	R380510 (303)	\$ 19,972	Youth Recapture	V. Enriquez	Provide Employment Svcs. To Youth	04/01/02	06/30/04	\$19,972	\$0		\$0	\$0	\$19,972	Youth 14-21
EDD	Federal/ WIA	R380510 (301)	\$ 17,383,040	Youth Formula	V. Enriquez	Provide Employment Svc. To Youth	04/01/02	06/30/04	\$18,013,304	\$1,785,056		\$16,228,248	\$16,525,911	\$1,487,394	Youth 14-21
EDD	Federal/ WIA	R380510 (501 & 502)	\$ 10,202,288	Dislocated Workers	M. Mireles	Provide Employment Svcs. To Dislocated Workers	07/01/02	06/30/04	\$15,855,669	\$1,427,143		\$14,428,526	\$12,291,131	\$3,564,539	Dislocated Worker
EDD	Federal/ WIA	R380510 (541)	\$ 1,096,929	Rapid Response	G. Rodriguez	Provide Employment Svcs. To Dislocated Workers	10/01/02	06/30/04	\$1,096,929	\$867,662		\$229,267	\$1,379,267	\$-282,338	Dislocated Worker
EDD	Federal/ WIA	R380510 (628)	\$ 375,000	Youth Spec. Program	V. Enriquez	Provide Employment Svcs. To Youth	07/01/02	06/30/04	\$375,000	\$37,500		\$337,500	\$371,151	\$3,849	Youth 14-21
EDD	Federal	W965807 (801)	\$ 21,075,924	Welfare to Work	M. Mireles	Provide Employment Svcs. To GAIN Clients	07/16/99	06/30/04	\$3,525,744	\$0		\$3,525,744	\$2,854,421	\$671,323	Gain Clients

Appendix E: Program Funding Matrix

Abbreviations

CDA = California Dept. of Aging
 CSS = County Dept. of Community and Social Services
 DCFS = County Dept. of Children's and Family Services
 DPSS = County Dept. of Public Social Services
 EDD = California Employment and Development Dept.
 ISD = County Internal Services Dept.
 WIA = Workforce Investment Act

Legend:

- I- Department of Labor, Employment Development Department, County Dept/MOU (DCFS, DPSS etc.)
- II- State, Federal, County, etc.
- III- Sub-Grant Agreement #/MOU/Grant # : Amount Funded
- IV- Program Type (Ex: WIA Youth, WIA Disl, Aging, DV, etc.)
- V- Program Manager's Initials
- VI- General Purpose (Ex: Provide funding to domestic violence clients in LA County)
- VII- Effective Period of Grant
- VIII- Fiscal 2002-03 Funding (Total Award: Allocation (ref: original Board Letter))
- IX- Expenditure Information
- X- Target Population

I	II	III	IV	V	VI	VII		VIII			IX		X	
Awarding Agency	Type	Grant #	Program Type	Program Manager	General Purpose of Program	Term of Funds		Funding Information			FY 2002-03	Target Population		
						Beginning	Ending	FY 2002-03 Award	CSS Admin	CSS Program	CBO Contracts		Expended	Remaining
Employment and Training														
DPSS	State	MOU	\$ 9,787,500	V. Enriquez	Provide Summer Opportunities to Calwork Youth	07/01/02	12/31/02	\$9,787,500	\$409,100		\$9,378,400	\$9,138,119	\$649,381	Youth 14-21
DPSS	State	MOU	\$ 13,613,000	A. Foman	Provide Employment Svcs. To General Relief	07/01/02	06/30/03	\$13,613,000	\$1,185,465		\$12,427,535	\$10,491,302	\$3,121,698	General Relief
Probation	County	MOU	\$ 184,400	M. Mireles	Provide Employment Svcs. To Juvenile	07/01/02	06/30/03	\$184,400	\$0		\$184,400	\$156,789	\$27,611	Juvenile Clients
DCFS	County	MOU	\$ 250,000	M. Mireles	Provide Employment Svcs. To Foster Youth	04/29/03	06/30/04	\$250,000	\$250,000		\$0	\$188,369	\$61,631	Foster Youth 14-21
South Bay WIB	Federal- Pass Through	Contract	\$ 1,000,000	G. Rodriguez	Provide Employment Svc. To Dislocated Workers	10/21/02	03/31/04	\$1,000,000	\$100,000		\$900,000	\$579,998	\$420,002	Dislocated Worker
South Bay WIB	Federal- Pass Through	Contract	\$ 1,600,000	G. Rodriguez	Provide Employment Svc. To Dislocated Workers	07/01/02	06/30/03	\$1,600,000	\$180,000		\$1,440,000	\$1,075,577	\$524,423	Dislocated Worker
Parks & Rec	County	MOU	\$ 160,000	R. Squaglia	Provide hands on training to youth	07/01/02	06/30/03	\$160,000		\$160,000		\$125,709	\$34,291	Prop A Youth
ISD	County	MOU	-	R. Squaglia	Provide classroom & on the job training	07/01/02	06/30/03	\$334,655	\$53,016	\$281,639		\$334,655	\$0	Foster Youth
ISD	County	MOU	\$ 19,718	R. Squaglia	Provide classroom & on the job training	07/01/02	06/30/03	\$19,718	\$19,718			\$22,462	-\$2,744	Foster Youth

Appendix E: Program Funding Matrix

Abbreviations

CDA = California Dept. of Aging
 CSS = County Dept. of Community and Social Services
 DCFS = County Dept. of Children's and Family Services
 DPSS = County Dept. of Public Social Services
 EDD = California Employment and Development Dept.
 ISD = County Internal Services Dept.
 WIA = Workforce Investment Act

Legend:

- I- Department of Labor, Employment Development Department, County Dep/IMOU (DCFS, DPSS, etc.)
- II- State, Federal, County, etc.
- III- Sub-Grant Agreement #/IMOU/Grant # : Amount Funded
- IV- Program Type (Ex: WIA Youth, WIA Disl, Aging, DV, etc.)
- V- Program Manager's Initials
- VI- General Purpose (Ex: Provide funding to domestic violence clients in LA County)
- VII- Effective Period of Grant
- VIII- Fiscal 2002-03 Funding (Total Award: Allocation (ref: original Board Letter))
- IX- Expenditure Information
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I	II	III	IV	V	VI	VII	VIII				IX		X		
Awarding Agency	Type	Grant #	Grant \$	Program Type	Program Manager	General Purpose of Program	Term of Funds		Funding Information			FY 2002-03 Expended	FY 2002-03 Remaining	Target Population	
							Beginning	Ending	FY 2002-03 Award	CSS Admin	CSS Program				CBO Contracts
Refugee Programs															
DCS	Federal	RESS 0204	3,010,811	REP_- Refugee Employment Prog.	A. Foman	Employ, training and placement services to refugees residing in the U.S. for less than five years	10/01/02	09/30/04	\$3,010,811	\$451,622		\$2,559,189	\$982,892	\$2,027,919	Refugees
DCS	Federal	RESS 0103	4,141,749	REP_- Refugee Employment Prog.	A. Foman	Same as above	10/01/01	09/30/03	\$4,141,749	\$621,262		\$3,520,487	\$4,141,749	\$0	Refugees
DCS	Federal	RESS 0003	488,201	REP_- Refugee Employment Prog.	A. Foman	Same as above	10/01/00	09/30/02	\$488,201	\$154,679		\$333,522	\$488,201	\$0	Refugees
DCS	Federal	TAFO 0201	1,855,328	REP_- Refugee Employment Prog.	A. Foman	Same as above	10/01/02	09/30/04	\$1,855,328	\$278,299		\$1,577,029	\$606,581	\$1,248,747	Refugees
DCS	Federal	TAFO 0101	1,696,175	REP_- Refugee Employment Prog.	A. Foman	Same as above	10/01/01	09/30/03	\$1,696,175	\$254,426		\$1,441,749	\$1,696,175	\$0	Refugees
DCS	Federal	TAFO 0002	70,984	REP_- Refugee Employment Prog.	A. Foman	Same as above	10/01/00	09/30/02	\$70,984	\$70,984	\$0	\$0	\$70,984	\$0	Refugees
DCS	Federal	TART 0203	140,604	Targeted Assistance (TA) Discretionary	A. Foman	Domestic Violence against refugee women and child care training and certification	09/30/01	09/29/03	\$140,604	\$6,696		\$133,908	\$2,933	\$137,671	Refugees
DCS	Federal	TART 0103	140,604	Targeted Assistance (TA) Discretionary	A. Foman	Same as above	09/30/01	09/29/03	\$140,604	\$6,696		\$133,908	\$103,726	\$36,878	Refugees
DCS	Federal	TART 0003	109,442	Discretionary	A. Foman	Same as above	09/30/00	09/29/03	\$109,442	\$2,412		\$107,030	\$109,442	\$0	Refugees
DCS	Federal	TART 0202	262,500	Discretionary	A. Foman	Same as above	09/30/01	09/29/03	\$262,500	\$12,500		\$250,000	\$5,475	\$257,025	Refugees
DCS	Federal	TART 0102	262,500	Discretionary	A. Foman	Same as above	09/30/01	09/29/03	\$262,500	\$12,500		\$250,000	\$75,588	\$186,912	Refugees
DCS	Federal	TART 0002	216,004	Discretionary	A. Foman	Same as above	09/30/00	09/29/03	\$216,004	\$4,504		\$211,500	\$216,004	\$0	Refugees
DCS	Federal	TARL 0204	390,948	63+ Elder Discretionary	A. Foman	Case management, linkages to appropriate mainstream senior services, and employment/community services	09/30/01	09/29/04	\$390,948	\$19,546		\$371,402	\$8,503	\$382,445	Refugees
DCS	Federal	TARL 0104	97,435	63+ Elder Discretionary	A. Foman	Same as above	09/30/01	09/29/04	\$97,435	\$4,872		\$92,563	\$45,316	\$52,119	Refugees
DCS	Federal	TARL 0004	669,713	63+ Elder Discretionary	A. Foman	Same as above	09/30/00	06/30/02	\$669,713	\$33,486		\$636,227	\$669,713	\$0	Refugees
DCS	Federal	TARL 9904	224,912	63+ Elder Discretionary	A. Foman	Same as above	09/30/99	06/30/02	\$224,912	\$0		\$224,912	\$224,912	\$0	Refugees
CSS	CSS funded	N/A		Domestic Violence Emerg Shelter	R. Donnelly	children with crisis intervention services that will allow their safety and survival and assists them in moving toward self sufficiency.	07/01/02	06/30/03	\$1,860,919	\$210,919		\$1,650,000	\$1,781,604	\$79,315	Refugees
MOU	DPSS	DSH 1884		CalWorks RITE	A. Foman	Case management & employment services to Non-English/Non-Spanish speaking California Work Opportunity	07/01/02	06/30/03	\$9,001,519	\$715,656		\$8,285,863	\$7,896,468	\$1,105,051	Refugees
MOU	DPSS	DSH 1879		SRS Compliance-Supplemental Refugee Services	A. Foman	CalWorks refugee participants failing or refusing to participate in REP without	07/01/02	06/30/03	\$226,800	\$0		\$226,800	\$226,750	\$50	Refugees

Appendix E: Program Funding Matrix

Abbreviations

CDA = California Dept. of Aging
 CSS = County Dept. of Community and Social Services
 DCFSS = County Dept. of Children's and Family Services
 DPSS = County Dept. of Public Social Services
 EDD = California Employment and Development Dept.
 ISD = County Internal Services Dept.
 WIA = Workforce Investment Act

Legend:

- I- Department of Labor, Employment Development Department, County Dept/MOU (DCFS, DPSS etc.)
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- IV- Program Type (Ex: WIA Youth, WIA Disl, Aging, DV, etc.)
- V- Program Manager's initials
- VI- General Purpose (Ex: Provide funding to domestic violence clients in LA County)
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I	II	III		IV	V	VI	VII		VIII				IX		X
Awarding Agency	Type	Grant #	Grant \$	Program Type	Program Manager	General Purpose of Program	Term of Funds		Funding Information				FY 2002-2003		Target Population
							Beginning	Ending	FY 2002-03 Award	CSS Admin	CSS Program	CBO Contracts	FY 2002-03 Expended	Remaining	
Community Services Programs															
U.S. Dept of Labor	Federal Funding	No. 03F-4317	7,268,329	CSBG	M. Kingi	To provide family development services to low income families.	01/01/03	12/31/2003 ^a	\$7,268,329	\$1,263,340	\$640,413	\$5,364,576	\$1,710,687	\$5,557,642	Community
U.S. Dept of Labor	Federal Funding	CB0213	1,735,805	CSBG Traffic Safety	M. Kingi	To provide a variety of activities designed to reduce the incidence of vehicular and pedestrian accidents in low income areas throughout the County.	10/01/03	09/30/04	\$1,735,805	\$680,998		\$1,054,807	\$106,232	\$1,629,573	Community
CSS Fund		N/A	3,764,000	Dispute Resolution (DR)	M. Kingi	To provide the DR services such as mediation, conciliation, facilitation and other DR services to County residents.	07/01/02	06/30/03	\$3,764,000	\$376,000		\$3,388,000	\$3,443,343	\$320,657	Community
DPSS	MOU	N/A	500,000	DV GROW	R. Donnelly	To provide services for GROW participants who are victims of domestic violence by assisting them to overcome barriers to employment and assists them in moving toward self-sufficiency.	07/01/02	06/30/03	\$500,000	\$75,000		\$425,000	\$487,169	\$12,831	Community
DPSS	MOU	N/A	13,200,000	DV CalWorks	R. Donnelly	To provide family development services to low income families.	07/01/02	06/30/03	\$13,200,000	\$1,227,675		\$11,972,325	\$12,475,297	\$724,703	Community
U.S. Dept of Labor	Federal Funding	No. 02F-4217	4,794,206	CSBG	M. Kingi	To provide emergency and safety net services for American Indians.	01/01/02	12/31/02	\$4,794,206	\$1,268,430	\$248,204	\$3,277,572	\$4,794,206	\$0	Community
U.S. Dept of Labor	Federal Funding	No. 02F-4262	208,624	CSBG American Indian	M. Kingi	To provide emergency and safety net services for American Indians.	03/01/02	12/31/02	\$208,624	\$28,195		\$180,429	\$205,204	\$3,420	Native American Indians
U.S. Dept of Labor	Federal Funding	No. 03F-4362	289,343	CSBG American Indian	M. Kingi	To provide emergency and safety net services for American Indians.	03/01/03	12/31/2003 ^a	\$289,343	\$63,222		\$226,121	\$233,381	\$55,962	Native American Indians

Appendix F: Prior CSS Audit Reports and Studies

This appendix presents several audits and studies of CSS conducted between September 1998 and March 2004:

- Information Technology Audit (Array Systems, Inc., September 2, 1998)
- Delegated Examination Program Review Report (*Department of Human Resources, November 2001*) and CSS's response
- Evaluation of the Current WIA Fiscal System (*KOG Associated, February 27, 2003*)
- Evaluation of Budgeting Accounting Section (*KOG Associated, July 24, 2003*)
- Follow-Up Review of Employment and Training Fiscal Accounting and Budget Accounting Unit (*KOG Associated, March 2004*)
- CSS Response to the March 2004 Follow-up Audit
- AAA and APS Programs (2002-2003 Grand Jury Report) and CSS Response

Array Systems Inc. CSS Information Technology Audit (September 2, 1998)

CSS initiated a study to determine the technology requirements for the development of a Department-wide enterprise system. The study included:

- Review of current business activities, automated processes, and future goals of the management staff and key personnel within CSS
- A technical network review of the current network systems with recommendations to upgrade the communication infrastructure to meet future business requirements
- Evaluation of business processes in the Program Accounting area with recommendations regarding reengineering opportunities to migrate toward a paperless environment
- Three-year plan that represented an approach to address Department priorities identified in the overall study.

This study resulted in the establishment of an IT Steering Committee, which prioritized IT initiatives. The study also noted the need for:

- Formal internal controls and project status system,
- A help desk to answer employee questions about IT software and hardware
- Technical training
- Technical support of hardware, software and network
- Enforcement of standards

The study also called for a change in the network operating system; redesign of the physical network configuration; outsourcing of network implementation, upgrade, design and monitoring to ISD; increasing network administration knowledge within IT. It was also noted that the accounting process required reduction of manual processes and redundant data storage. Existing systems needed to be integrated and the accounting data should be allowed inquiry and extraction access from outside the accounting section.

Delegated Examination Program Review Report (*Department of Human Resources, November 2001*) and CSS Response



COUNTY OF LOS ANGELES DEPARTMENT OF HUMAN RESOURCES

579 KENNETH HAHN HALL OF ADMINISTRATION/LOS ANGELES CALIFORNIA 90012
(213) 974-2406 FAX (213) 621-0387

02-349

MICHAEL J. HENRY
DIRECTOR OF PERSONNEL

December 19, 2002

Robert Ryans, Director
Department of Community and Senior Services
3175 West 6th Street
Los Angeles, CA 90020



Dear Mr. Ryans:

Department of Community and Senior Services Delegated Examination Program

Attached is a report of the Department of Community and Senior Services' (DCSS) compliance with the Department of Human Resources' (DHR) standards and policies for delegated examination programs. Department of Human Resources' Compliance Review Program staff, in accordance with DHR's published Compliance Standards, Compliance Review Procedures, and reporting formats for delegated examination programs, conducted a review of the DCSS examination system in November 2001.

The purpose of the review was to determine whether the DCSS examination system, i.e., recruitment, selection, and testing, is in compliance with the Charter of the County of Los Angeles, Civil Services Rules, legal requirements, merit system principles, and policy guidelines.

As a result of the review, it was determined that DCSS' examination system is in compliance with DHR's Compliance Standards in most areas. We have identified those areas that did not meet the Compliance Standards and areas that would benefit from further development. Those areas that we feel are good business practices are identified, as well. The following department-administered corrective measures would serve to enhance the quality of the current examination system:

- o Train staff in the proper planning and administration of examinations.
- o Develop and implement written procedures for staff who perform all aspects of examination functions.

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Robert Ryans, Director

December 19, 2002

Page 2

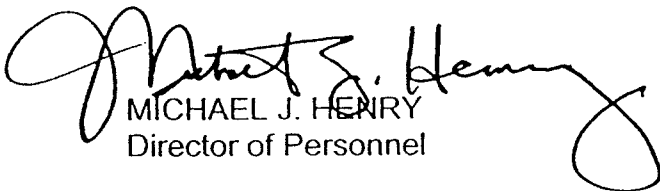
- o Establish and maintain supervisory review processes for each major phase of examination development and administration.
- o Conduct periodic self-audits according to the DHR Delegated Examination Self-Monitoring Guidelines.

Our findings and recommendations are included in the attached Delegated Examination Program Review Report.

Although the report will not be reviewed by the Board of Supervisors, it is recommended that all corrective actions be documented in the same manner as required for audit reports subject to Board review. Accordingly, we are requesting that a written response be submitted to DHR within 60 days of the date of this letter. The response should address each finding/recommendation, the corrective action(s) to be taken, and a realistic timeline for completion.

I wish to thank you and your staff for the assistance and cooperation extended to DHR staff during the review process. If you have any questions, please call me at (213) 974-2406, or your staff may contact Sandra K. Taylor, Human Resources Manager, at (213) 974-2616.

Sincerely,



MICHAEL J. HENRY
Director of Personnel

MJH:STS

SKT:HL

Attachment

c: Melinda Fonseca, Program Manager
Department of Community and Senior Services

G:/dcss-ryans

COUNTY OF LOS ANGELES
DEPARTMENT OF HUMAN RESOURCES
HR DEPARTMENTAL SUPPORT DIVISION

DEPARTMENT OF COMMUNITY AND SENIOR SERVICES
DELEGATED EXAMINATION PROGRAM REVIEW REPORT

November 2001

Evaluated by:

Henry Lucio, Human Resources Analyst
MONITORING AND INVESTIGATIONS SECTION

DEPARTMENT OF COMMUNITY AND SENIOR SERVICES

INTRODUCTION

In July 1986, the Board of Supervisors approved Civil Service Rule 3.03, which authorized the Director of Human Resources, as *ex officio* Director of Personnel, to delegate to department and district heads the authority to administer human resources operational activities, such as, but not limited to, classification, recruitment and selection, and employee development. Such delegation is subject to audit by the Director of Personnel to ensure compliance with the Charter, Civil Service Rules, and policy guidelines.

On November 4, 1999, departmental personnel officers were notified by the Department of Human Resources (DHR) of the implementation of DHR's Compliance Review Program for delegated examination activities. As stated in the notification to personnel officers, the objectives of the compliance review are to:

- Ensure compliance with Examination Program Standards, Civil Service Rules, and DHR standards, policies, procedures, and guidelines;
- Determine if program objectives are being met;
- Identify areas requiring possible changes in policy, procedures, or methods to improve both the effectiveness and efficiency of the examination system; and
- Assist DHR in developing examination-specific training programs.

On February 19, 1999, prior to beginning its formal Compliance Review Program, DHR issued the Delegated Examination Program Self-Monitoring Guidelines to line departments to assist them in conducting internal reviews of their examination processes. The Self-Monitoring Guidelines also served as a framework for developing the structure and format for the DHR compliance review process. In May 1999, DHR provided training to human resources staff in line departments concerning the use of the Self-Monitoring Guidelines.

SCOPE OF EXAMINATION REVIEW

DHR conducted its physical review and analysis of the Department of Community and Senior Services' (DCSS) examination system from November 5, 2001 through November 28, 2001. The department's examination log listed 52 examinations administered during the period reviewed, calendar years 2000 and 2001. In accordance with the DHR Compliance Standards ("Standards") and Compliance Review Procedures, a cross-section of examinations, based on level, size, and type, was chosen for review. The following five examinations were reviewed:

- Light Bus Driver, Exam Number 6-6068-01 (Automotive Operating Series; open competitive)
- Community Services Analyst III, Exam Number 6-8191-07 (Community Improvement Series; departmental promotional)
- EDP Support Analyst II/Network Administration, Exam Number 6-2535-01 (Data Processing Series; departmental promotional)
- Social Worker Trainee/Spanish Speaking, Exam Number 6-9050-6B (Social Work Series; open competitive)
- Social Worker, Exam Number 6-9051-6A (Social Work Series; open competitive)

DHR staff conducted its physical review and analysis of DCSS' examination system in strict accordance with DHR's published Compliance Review Procedures and reporting formats for the delegated examination program. The resultant findings, detailed below and on the following pages, are from an in-depth review of the department's examination records, examination facilities, and management of its examination system (e.g., staff training, operations, procedures, and security), and interviews with DCSS staff.

DHR FINDINGS

The Department of Community and Senior Services was found to be in compliance in most areas identified in the Delegated Examination Program Self-Monitoring Guidelines issued by the Department of Human Resources on February 19, 1999. After the review, the following good business practices were noted in the department's management of its examination program:

- ◆ Exam records and file folders are neatly sorted and filed, systematically organized, and consistently maintained. This enabled the reviewer to find the required documents with ease;
- ◆ Most exam records are kept beyond the retention period to assist successors in understanding the history behind the department's recruitment efforts and strategies;
- ◆ All individuals involved in the development, administration, evaluation and scoring of each examination are asked to complete a Test Security Agreement to ensure secured handling of confidential test materials;
- ◆ Copies of each type of letter sent to candidates are mailed to the analyst's home address to establish postmark dates in determining filing period limitations provided for in the Civil Service Rules;

- ◆ Effective interviewer orientation was reflected in the quality of comments written by most raters in documenting the candidates' performance during the interview process;
- ◆ Daily management of applications received at the reception counter allows analysts to efficiently review and process applications on a flow basis.

It is also commendable that after the department became aware of compliance issues, human resources management immediately addressed and implemented corrective actions prior to the publication of this report.

Specific compliance review findings are summarized by exam on the following pages, as well as recommendations to enhance departmental operations, identify opportunities for training, and bring several areas into compliance.

I. EXAMINATION RECORDS

LIGHT BUS DRIVER EXAM NUMBER 6-6068-01

This open competitive examination was posted on December 14, 2000 and was open for filing for three days, from December 18, 2000 through December 20, 2000. The examination consisted of a Rating from Record weighted 100%. DHR reviewed all 11 applications (100%) received by the department. The eligible list promulgated on December 28, 2000 with one eligible candidate. The life of the list is 12 months.

Minimum Requirements

The posted bulletin only required a California Class "C" driver license. However, the Minimum Requirements delineated in the class specification require possession of a valid California Class "B" driver license with special endorsement for passenger transport vehicles and an American Red Cross basic first aid certificate.

Applications

An application was rejected as incomplete for not attaching a copy of the driver license; however, the bulletin did not require applicants to submit proof of license at the time of filing.

The Equal Employment Opportunity (EEO) questionnaires of two applications were not detached.

Report of Exam

The Report of Exam printed on December 28, 2000 did not include a column for Veteran's credit.

Eligible List, Certification List

Both lists were not approved and signed by an authorized person or designate prior to distribution.

Rating from Records

The California Class "B" driver license and American Red Cross basic first aid certificate requirements stated in the Rating from Record were not the same requirements as listed on the bulletin.

An applicant was awarded 10 points for Education, but it was not clear as to whether he received the additional points for a high school diploma or GED certificate from an accredited school, or for a certificate of completion of a safety driving course/program. Although on his application the applicant stated that he graduated from high school, he did not provide the name of the high school nor did he attach a copy of the high school diploma. He also did not submit a safety driving course certificate.

The completed Rating from Record did not clearly identify the qualifying experience for which the candidate received credit.

EDP SUPPORT ANALYST III/NETWORK ADMINISTRATION EXAM NUMBER 6-2535-01

This departmental promotional examination was posted on May 17, 2001 and was open for filing from May 21, 2001 through June 7, 2001. The exam initially consisted of a Rating from Record weighted 50% and an Appraisal of Promotability weighted 50%. It was later changed to a Rating from Record weighted 100% since only three qualified candidates applied. DHR reviewed all three applications (100%) received by the department. The eligible list promulgated on June 11, 2001 with three eligible candidates. The life of the list is six months.

Report of Exam

The Report of Exam indicated that the recruitment was an interdepartmental promotional (IP) exam, rather than a departmental promotional (DP) exam. The promulgation date of the list on the Report of Exam (June 13, 2001) is not consistent with the promulgation date on the Eligible List (June 11, 2001).

Selection Plan

The Selection Plan was not annotated to reflect the change in exam content from a Rating from Record weighted 50% and an Appraisal of Promotability weighted 50%, to a Rating from Record weighted 100%.

Eligible List, Certification List

The Eligible List and Certification List indicated that the recruitment type was IP rather than DP; additionally, both lists were not approved and signed by an authorized person prior to distribution.

COMMUNITY SERVICES ANALYST III EXAM NUMBER 6-8191-07

This departmental promotional examination was initially posted on April 24, 2000, and was rebuletined the following day, April 25, 2000 to correct the examination number. The exam was open for filing from April 24, 2000 through May 11, 2000. The exam consisted of a Rating from Record weighted 50% and an Appraisal of Promotability weighted 50%.

DHR reviewed all 41 applications (100%) received by the department. The eligible list promulgated on November 27, 2000 with 35 eligible candidates. The life of the list is 12 months.

Bulletin

One of the desirable qualifications stated in the bulletin was completion of a bachelor's degree from an accredited college; however, the standards in the Rating from Records only credited additional points for a bachelor's or a master's degree in social or behavioral science.

The bulletin did not indicate the life of the list.

Selection Plan

The Selection Plan did not document that the examination was originally posted on April 24, 2000, and was rebuletined the following day to correct the examination number.

Report of Exam

The Report of Exam incorrectly indicated that this exam consisted of an Interview weighted 100%.

Eligible List, Certification List

Both lists were not approved and signed by an authorized person or designate prior to distribution.

Applications

The Equal Employment Opportunity questionnaires of 39 candidates were not detached from the application.

Two accepted out-of-class letters were not verified and signed by the Personnel Officer.

Two rejected applications were not initialed by the reviewing analyst.

Five applications previously rejected for various reasons did not indicate why and when the applications were later accepted; rejection codes were not crossed out to indicate the change in the status of the applications.

The qualifying experience of only eight candidates was verified against personnel records.

Rating from Records

The bulletin required applicants to submit copies of degrees or certificates in order to receive credit for related education; however, credit was given whether or not the applicant provided proof of completion of the degree or certificate.

The Rating from Records' standard for education credited ten (10) additional points for a bachelor's or a master's degree in social or behavioral science, or two (2) points for each certificate in social or behavioral science from an accredited college. Credits were given whether the degree was in social or behavioral science. Additionally, it was unclear what qualified as a "certificate in a social or behavioral science field from an accredited college."

The Rating from Records' standard for experience credited one (1) point for every two (2) years of the required experience, or five (5) points for every six (6) months' experience supervising analysts engaged in the development of community and senior services programs. With these standards, it would take forty (40) years for an employee to receive the maximum credit for experience on the former, and only two (2) years for the latter.

The Rating from Records' scores for nine candidates were incorrect; some candidates' final scores could have affected their band placements.

The individual Rating from Records did not clearly specify the qualifying education and/or experience. It could not be determined if the analyst computed the qualifying experience by the last day of filing (May 11, 2000), or by the date the Rating from Records were scored (September 27, 2000.)

The Explanation of Score box at the bottom of the form is not exclusively for the Rating from Records component, but was an explanation of the final score, including the Appraisal of Promotability component.

Appraisal of Promotability

The Appraisal of Promotability (A/P) form used by the department only required raters to provide summary comments rather than providing comments for each factor assessed. Several candidates' A/Ps had comments following each factor rating; some only had one- or two-sentence summary comments.

The A/P form inadvertently assigned "C" for both Qualified and Not Qualified factor ratings.

Final numerical scores were penciled in by the analyst. There is no area on the A/P form where scores could be posted in ink.

Comments provided by raters in several A/Ps were not sufficient to justify, and/or were not consistent with, the factor ratings assigned to candidates.

The Appraisal of Promotability of a rejected candidate whose application was later accepted was submitted and dated at the time the application was still a reject.

SOCIAL WORKER EXAM NUMBER 6-9051-6A

This open competitive examination originally posted on October 18, 1999. Succeeding rebulletins were issued on February 8, 2000, June 8, 2000, August 1, 2000, and December 14, 2000. The exam was suspended for filing on May 24, 2001. On November 6, 2001, the exam was reopened for filing until the needs of the service are met.

This examination consisted of an Interview weighted 100%, and an eligible register was established to fill various positions in the department. As more candidates became eligible, the register was revised to add new eligible candidates. Eligible candidates remain on the register for six (6) months after the promulgation date.

As of October 31, 2001, the department has received 704 applications, of which 386 were rejected, and 274 had gone through the examination process. Of the 274

candidates, 266 became eligible for the position. DHR reviewed 71 (10%) of the total applications received for the exam.

Bulletin

There was no record of DHR approval of rebulletins posted on February 8, 2000, June 8, 2000, August 1, 2000, and December 14, 2000.

Succeeding rebulletins of the exam included substantial changes to the Selection Requirements; some applications previously rejected would have been accepted during subsequent postings. Additionally, previously accepted applications from the June 8, 2000 posting would not have been accepted with the deletion of a previous option in the Selection Requirements.

The Examination Information incorrectly stated that the examination included a qualifying evaluation of education and experience based on application information. The exam consisted only of an Interview weighted 100%.

The bulletin did not include information on how long the candidates would remain on the eligible register.

Selection Plan

The Selection Plan approved in October 1999 stated that the life of the register was six months; the Plan approved in August 2000 stated 12 months.

The Plan also did not provide complete documentation of subsequent rebulletins that substantially changed the Selection Requirements.

The Plan incorrectly included a qualifying Rating from Records.

Notices to Candidates

Rejection letters for incomplete applications sent on March 21, 2001 did not include information on appeal rights.

Result notices to eligible candidates did not specify the band placement; however, the band definition was listed in the letter.

Report of Exam

The original promulgation date of the register was not shown on the report.

The weight of the exam component was not identified.

The Report of Exam did not indicate the two raw interview scores; it listed only the average of the two raw scores.

The number of candidates who withdrew from the exam or who did not appear for the interview was not identified in the report summary.

There was no record of pass/fail frequencies categorized by gender and ethnicity.

There was no bottom line adverse impact analysis of the exam.

Record of Appeals

While there was no master record of all appeals to identify names of appellants, issues of appeal, and final disposition, DHR appeal responses were filed in the specimen folder.

Eligible Registers, Certification List

Subsequent revisions of the eligible register did not contain the original promulgation date.

The Exams Unit generates a Certification List that includes the names of all eligible candidates and forwards a copy to Operations Unit. The Operations Unit does not provide appointment information to the Exams Unit to ensure that subsequent revisions would include updated information.

Both lists were not approved and signed by an authorized person or designate prior to distribution.

Applications

Two candidates who submitted application forms exclusively used by the Department of Public Social Services (DPSS) and the Department of Children and Family Services were rejected solely for not using the standard Los Angeles County Employment Application form; however, one candidate's DPSS application was accepted.

Some rejected applications did not include the initials of the reviewing analyst; a few did not include rejection codes. Rejection codes I2 and I5 were used interchangeably for not meeting the Selection Requirements and for incomplete applications.

An applicant who had a degree in Sociology and appeared to meet the qualifying social work experience was rejected. An applicant whose experience did not appear to be qualifying social work experience was accepted.

An application marked as "accept," was posted as "reject – I5" in the Report of Exam.

Interview

The department alternately used two sets of interview questions. Further review showed that the two sets did not have the same number of discussion areas (set A had eight, while set B had ten questions), nor did it assess the same knowledge, skills, abilities, and specificity of related experience.

The raters were not assigned unique ID Numbers throughout the administration of the exam. These ID numbers were issued on the day of the interview, using the Interview Board Number and the letters "A" and "B" as they corresponded to the order in which the names appeared on the Interview Consent Form.

There was no documentation of interviewers' gender and ethnicity, or of the effort of the department to maintain a balanced interview panel.

Notations of "Time In" and "Time Out" between interviewers were inconsistent on one candidate's rating sheets. One rater assigned two different scores (96, 95) on the same rating sheet.

Some raters referred to candidates as "clients." Some raters noted the candidate's accent and limited English skills as factors affecting performance in the interview.

Eight Interview Consent Forms were not dated and did not include the correct exam number.

SOCIAL WORKER TRAINEE/SPANISH SPEAKING EXAM NUMBER 6-9050-6B

This open competitive examination originally posted on March 28, 2000. Succeeding rebulletins were issued on July 10, 2000, July 20, 2000, November 28, 2000, and December 14, 2000. The July 20, 2000 posting included all specialty language exams for Social Worker Trainee in one bulletin. The exam was suspended for filing on May 24, 2001.

The examination consisted of a qualifying bilingual proficiency test in Spanish, and an Interview weighted 100%. As more candidates became eligible, the register was revised to add new eligible candidates. The names of eligible candidates remain on the register for six (6) months after the promulgation date.

As of August 6, 2001, the department has received 269 applications, of which 81 were rejected, and 129 had gone through the examination process. Of the 129 candidates, 128 became eligible for the position. DHR reviewed 40 (15%) of the total applications received by the department.

Bulletin

There is no record of DHR approval of rebulletins posted on July 20, 2000, November 28, 2000, and December 14, 2000.

The Examination Information incorrectly stated that examination included a qualifying evaluation of education and experience based on application information. The exam consisted only of an Interview weighted 100%.

The bulletin did not include information on how long the eligible candidates' names would remain on the register.

Selection Plan

There was no Selection Plan on file when the exam originally posted on March 28, 2000. The Plan approved on July 20, 2000 did not reflect the correct Selection Requirements, did not document the qualifying bilingual proficiency test and any of the subsequent rebulletins.

Notices to Candidates

Rejection letters for incomplete applications sent on March 5, 2001 and March 21, 2001 did not include information on appeal rights.

Rejection letters dated September 25, 2000 incorrectly referred to filing an appeal with DHR within ten business days as in accordance with Civil Service Rule 6.07; this Rule refers to filing an appeal with the Civil Service Commission.

Allowed testing time noted on schedule letters was not consistent, e.g., for the bilingual proficiency test, candidates were informed on the January 2, 2001 letter that the time allowed was 30 minutes; however, the April 30, 2001 letter indicated that the time allowed was two hours. For the oral interview, the September 27, 2000 letter stated the time allowed was 30 minutes; the January 25, 2001 letter stated that the time allowed was one hour.

Result notices to candidates did not specify the band placement; however, the band definition was listed on the letter.

Report of Exam

The original promulgation date of the register is not shown on the report.

The Report of Exam did not indicate the two raw interview scores; it showed only the average of the two raw scores.

The number of candidates who withdrew from the exam or who did not appear for the interviews was not identified in the report summary.

There was no record of pass/fail frequencies categorized by gender and ethnicity.

There was no bottom line adverse impact analysis of the exam.

Record of Appeals

While there was no master record of all appeals to identify names of appellants, issues of appeal, and final disposition, DHR appeal responses were filed in the specimen folder.

Eligible Registers, Certification List

Subsequent revisions of the eligible register did not include the original promulgation date.

The Exams Unit generates a Certification List that has the names of all eligible candidates, and forwards a copy to Operations Unit. The Operations Unit does not provide appointment information to the Exams Unit to ensure that subsequent revisions would have updated information.

Both lists were not approved and signed by an authorized person or designate prior to distribution.

Applications

One applicant's EEO questionnaire was not detached from the application.

Applications were not appropriately annotated to indicate under which option the applicant qualified.

Most rejected applications did not include the initials of the reviewing analyst.

There were no bilingual test records for two candidates who were interviewed.

Interview

The raters were not assigned unique ID Numbers throughout the administration of the exam. These ID numbers were given on the day of the interview, using the Interview Board Number and the letters "A" and "B" as they corresponded to the order in which the names appeared on the Interview Consent Form.

There was no documentation of interviewers' gender and ethnicity, or of the effort of the department to maintain a balanced interview panel.

Notations of interview date, "Time In" and "Time Out" between interviewers were inconsistent on six candidates' rating sheets.

Eleven Interview Consent Forms did not include the correct exam number.

Bilingual Proficiency Test in Spanish

Exam file did not have a record of the bilingual examiner's name, payroll title, gender, ethnicity, and appropriate certification to conduct the test.

Exam File did not include written procedures regarding administration of the bilingual test, including retake period.

There were no proctor records of written tests.

Candidates did not sign their names on the written test sheets. Some test sheets contained incomplete information such as form number used, language being tested, or notation of whether the candidate passed or failed the test.

There were no rating forms used or completed to document the oral component of the test.

A review of the scored written test revealed that the standards delineated in the Master Key Copy were not strictly followed nor consistently applied.

II. FACILITIES

The three file cabinets where the specimen folders, applications, and candidate raw data files are stored are not equipped with locking bars. The Program Manager stated that the previous director did not approve installation of the locking bars for aesthetic reasons.

III. EXAMINATION SYSTEM ADMINISTRATION

As previously indicated, DHR found that all eligible lists, eligible registers, and certification lists were not approved and signed by an authorized person or designate prior to distribution.

RECOMMENDATIONS

Based on our review of the department's delegated examining program, the following departmental corrective actions and process enhancements are recommended to ensure consistent application of, and continued compliance with, Countywide policies, procedures and guidelines:

1. For each recruitment, conduct a job analysis every five years to identify and link essential knowledge, skills, abilities, and personal characteristics (KSAP) of the position to selection instruments or assessment methods used;
2. Ensure that Selection Plans contain accurate and complete information regarding the recruitment type and assessment methods used, including any changes in the minimum or selection requirements and/or assessment methods;
3. Ensure that bulletin statements and information are accurate, complete, and consistent with the Department of Human Resources Report No. 7 – *Policies for Examination Bulletins*;
4. Ensure that bulletins for open competitive and interdepartmental promotional exams, and departmental promotional exams for Countywide classes, are approved by the Department of Human Resources prior to posting;
5. Train staff on all aspects of exam administration, with particular focus on the screening of applications, consistent application of evaluation procedures, record keeping, and sufficient documentation of test administration and processes;
6. Conduct regular supervisory review of staff work throughout each phase of the examination process and establish individual records of training and performance;
7. Provide guidance and informational resources to staff on the fair and equitable treatment of candidates when verifying or clarifying application information;
8. Ensure that Equal Employment Opportunity questionnaires are detached from all applications prior to screening and evaluation;
9. For exams with multiple options to qualify, ensure that applications are annotated with the option under which the applicant qualified;
10. Ensure that applications are initialed by the reviewing analyst after evaluation, and that ineligible codes are applied consistently;
11. Identify qualifying education and experience on individual Rating from Record forms, ensure accurate analysis and computation of creditable training and experience;
12. Revise the departmental Appraisal of Promotability form to require raters and reviewers to provide sufficient justification for each assigned factor rating, and

incorporate an area in the form where the candidate's final numerical score can be posted in ink;

13. Ensure that appeal rights information is included in all rejection and test results notification letters;
14. Ensure that test schedule letters contain accurate and consistent information for each test administration;
15. Ensure that all eligible lists, eligible registers, certification lists, selection plans, and reports of exam are approved and signed by an authorized person or designate;
16. Assign unique ID numbers to interviewers to ensure that raters are identifiable in the event that Interview Consent Forms are detached from Rating Sheets; create and maintain an Interview Board Composition report that includes the names of interviewers, payroll titles, gender, ethnicity, agency affiliation of non-DCSS raters; ensure documentation of department's efforts to maintain a balanced interview panel;
17. Review all Interview Rating Sheets for completeness and accuracy, and ensure that raters' comments do not contain non-merit factors and statements that may be perceived as discriminatory;
18. Complete and maintain proctor records for each test administration;
19. Closely monitor the administration of the bilingual proficiency test to ensure consistent, accurate, and complete documentation, including the use of appropriate rating forms; ensure adherence to, and consistent application of, established standards;
20. Create and maintain a master appeals log for each exam containing appellants' names, appeal issues, final disposition, and actions taken;
21. Ensure that Reports of Exam contain all the required information to provide an accurate summary of the examination process; contact the TRAC software vendor to redefine the report fields and to determine how statistical reports can be generated from TRAC;
22. Install locking bars on file cabinets;
23. Conduct periodic self-audits according to DHR's Delegated Examination Self-Monitoring Guidelines.



ROBERT RYANS
Director

**COMMUNITY AND SENIOR SERVICES
OF LOS ANGELES COUNTY**

IDR-13

BOARD OF SUPERVISORS

GLORIA MOLINA
YVONNE BRATHWAITE BURKE
ZEV YAROSLAVSKY
DON KNABE
MICHAEL D. ANTONOVICH

January 23, 2003

To: Michael J. Henry
Director of Personnel

From: Robert Ryans
Director

Subject: **DEPARTMENT OF COMMUNITY AND SENIOR SERVICES
DELEGATED EXAMINATION PROGRAM**

This is in response to your memo dated December 19, 2002, regarding the Department of Community and Senior Services' compliance with the Department of Human Resources' (DHR) standards and policies for delegated examination programs.

As indicated in your findings included in the Delegated Examination Program Review Report dated November 2001, my staff immediately addressed and implemented corrective actions prior to the publication of this report. Attached, are corrective measures that we have taken to comply with DHR's Compliance Standards, Charter of the County of Los Angeles, Civil Service Rules, legal requirements, merit system principles, and policy guidelines.

If you have any questions, please call me at (213) 738-2617 or your staff may contact Yolanda Johnson, Personnel Officer, at (213) 738-3051.

RR:YJ:EM:em

Attachment

DEPARTMENT OF HUMAN RESOURCES	DEPARTMENT OF COMMUNITY AND SENIOR SERVICES
FINDINGS	CORRECTIVE MEASURES
<p>1. For each recruitment, conduct a job analysis every five years to identify and link essential knowledge, skills, abilities, and personal characteristics (KSAP) of the position to selection instruments or assessment methods used;</p> <p>2. Ensure that Selection Plans contain accurate and complete information regarding the recruitment type and assessment methods used, including any changes in the minimum or selection requirements and/or assessment methods;</p> <p>3. Ensure that bulletin statements and information are accurate, complete, and consistent with the Department of Human Resources Report No. 7 – Policies for Examination Bulletins;</p> <p>4. Ensure that bulletins for open competitive and interdepartmental promotional exams, and departmental promotional exams for Countywide classes, are approved by the Department of Human Resources prior to posting;</p> <p>5. Train staff on all aspects of exam administration, with particular focus on the screening of applications, consistent application of evaluation procedures, record keeping, and sufficient documentation of test administration and processes;</p> <p>6. Conduct regular supervisory review of staff work throughout each phase of the examination process and establish individual records of training and performance;</p>	<p>Effective January 2003, job analysis will be conducted on each exam request to identify knowledge, skills, abilities, and other pertinent information necessary to perform the job.</p> <p>Effective February 2002, Personnel Officer reviews and signs all selection plans to ensure accuracy and timely completion.</p> <p>Effective June 2002, Exams Supervisor and Exams Analysts ensure that bulletin statements and information are accurate, complete, and consistent with the Department of Human Resources Report No. 7 – Policies for Examination Bulletins.</p> <p>Effective November 2001, Exams Supervisor ensures that Exams Analysts obtain DHR approval before posting open-competitive, interdepartmental promotional, and departmental promotional exams including re-bulletins.</p> <p>In June 2002, Exams Supervisor trained staff on all aspects of exam administration in addition to scheduling staff to attend various trainings provided by DHR and other recruitment agencies.</p> <p>Effective June 2002, Exams Supervisor conducts reviews of staff's work throughout the entire examination process and maintains documentation on staff training and performance.</p>

7. Provide guidance and informational resources to staff on the fair and equitable treatment of candidates when verifying or clarifying application information;	Effective June 2002, Exams Supervisor, in collaboration with the ADA Coordinator, provides guidance to each staff on the fair treatment of applicants which includes proper conduct when clarifying application information.
8. Ensure that Equal Employment Opportunity questionnaires are detached from all applications prior to screening and evaluation;	Effective February 2002, clerical support removes EEOC questionnaires and are filed accordingly before Exam Analyst reviews applications.
9. For exams with multiple options to qualify, ensure that applications are annotated with the option under which the applicant qualified;	Effective January 2003, Exams Analysts will annotate on the candidates' application what option they qualify for and annotation will be reviewed by the Exams Supervisor.
10. Ensure that applications are initialed by the reviewing analyst after evaluation, and that ineligible codes are applied consistently;	Effective June 2002, Exams Supervisor ensures that applications are initialed properly and ineligible codes are applied consistently.
11. Identify qualifying education and experience on individual Rating from Record forms, ensure accurate analysis and computation of creditable training and experience;	Effective February 2002, Exams Analysts identify and annotate qualifying education and experience and indicate the amount of points given for each section on individual Rating from Record forms. The Exams Supervisor ensures accuracy of Exams Analysts work such as appropriate points for creditable training and experience.
12. Revise the departmental Appraisal of Promotability form to require raters and reviewers to provide sufficient justification for each assigned factor rating, and incorporate an area in the form where the candidate's final numerical score can be posted in ink;	Effective April 2002, the Appraisal of Promotability form was redesigned to include an area for rater's justification and to add an area for candidate's numerical score. In addition, the Exams Analysts review rater's justification for consistency with assigned factor rating and return if corrections are needed.
13. Ensure that appeal rights information is included in all rejected and test results notification letters;	Effective February 2002, the appeal rights language was added to all exam notices such as rejection, test results notification, etc.
14. Ensure that test schedule letters contain accurate and consistent information for each test administration;	Effective June 2002, Exams Supervisor and Exams Analysts review test schedule notices to ensure accuracy and consistency of test information.

Attachment

<p>15. Ensure that all eligible lists, eligible registers, certification lists, selection plans, and reports of exam are approved and signed by an authorized person.</p>	<p>Effective February 2002, Personnel Officer reviews and signs all eligible lists, eligible registers, certification lists, and report of exam prior to distribution.</p>
<p>16. Assign unique ID numbers to interviewers to ensure that raters are identifiable in the event that Interview consent Forms are detached from Rating Sheets; create and maintain an Interview Board Composition report that includes the names of interviews, payroll title, gender, ethnicity, agency affiliation of non-DCSS raters; ensure documentation of department's efforts to maintain a balanced interview panel;</p>	<p>Effective June 2002, Exams Supervisor created an Interview Board chart for Exams Analysts to use when conducting interviews. The chart contains the following information: unique ID numbers, name, gender, ethnicity, employer/work location, and telephone numbers. This document is maintained in the specimen folder.</p>
<p>17. Review all Interview Rating Sheets for completeness and accuracy, and ensure that raters' comments do not contain non-merit factors and statements that may be perceived as discriminatory.</p>	<p>Effective June 2002, Exams Analysts review all Interview Rating Sheets to ensure that they do not contain comments that may be as perceived discriminatory such as applicant's national origin, race, gender, religion and other inappropriate words that are not job-related. Exams Analysts also review rater's justification for consistency with assigned factor rating and return if corrections are needed.</p>
<p>18. Complete and maintain proctor records for each test administration;</p>	<p>Effective November 2001, Exams Analysts complete and maintain proctor records for each test administration which are maintained in the specimen folder.</p>
<p>19. Closely monitor the administration of the bilingual proficiency test to ensure consistent, accurate, and complete documentation, including the use of appropriate rating forms; ensure adherence to, and consistent application of, established standards;</p>	<p>Effective January 2003, Bilingual Coordinator reviews the Bilingual Proficiency Exam Standards provided by DHR with the Bilingual Examiner and closely monitors administration of bilingual proficiency exam in accordance to established procedures.</p>
<p>20. Create and maintain a master appeals log for each exam containing appellant's names, appeal issues, final disposition, and actions taken;</p>	<p>Effective January 2003, Exams Unit will maintain a master log to contain appellant's names, appeal date, appeal issues, and DHR's final disposition.</p>

<p>21. Ensure that Report of Exams contain all the required information to provide an accurate summary of the examination process; contact the TRAC software vendor to redefine the report fields and to determine how statistical reports can be generated from TRAC.</p>	<p>Effective November 2001, Exams Analysts print the pass/fail frequency report, test statistics summary, and bottom line adverse impact analysis. Effective June 2002, Exams Supervisor functions as the "TRAC Expert," has corrected the Report of Exams to ensure it contains all the necessary information, and occasionally consults with TRAC vendor in redefining other TRAC generated reports.</p>
<p>22. Install locking bars on file cabinets</p>	<p>In February 2002, locking bars were ordered and will be installed no later than 1/31/03. Currently, all exam materials are maintained in a secure office where no unauthorized persons are allowed.</p>
<p>23. Conduct periodic self-audits according to DHRs Delegated Examination Self-Monitoring Guidelines.</p>	<p>Effective June 2002, Exams Supervisor conducts monthly staff meeting and spontaneous review of specimen folders to ensure that DHR's Delegated Examination Self-Monitoring guidelines are followed accordingly.</p>

Evaluation of the Current WIA Fiscal System (*KOG Associated, February 27, 2003*)

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10/25/2003 10:00:00 AM



February 27, 2003

Mr. Ken Kessler
County of Los Angeles
Department of Community and Senior Services
Administrative Services Branch
3175 West Sixth Street
Los Angeles, CA 90020-1798

Dear Mr. Kessler:

Final Report on Evaluation of the Current Workforce Investment Act Fiscal System

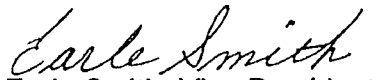
The Los Angeles County Community and Senior Services Department, Administrative Services Branch contracted with KOG Associates, Inc. to:

- Conduct an on-site evaluation of its current Workforce Investment Act Fiscal System;
- Provide written recommendations for system improvement; and
- Provide training/technical support to County and subcontractor staff in the application of County policy and requirements.

January 8 and 9, 2003, KOG Associates, Inc. staff conducted an onsite review of the Fiscal and Budget Division of the County Department of Senior and Community Services to ascertain whether or not that Division maintained fiscal accountability and control. The review found that the County of Los Angeles, Department of Community and Senior Services, Administrative Services Branch failed to maintain systems in compliance with Generally Accepted Accounting Principals (GAAP) and as such several system improvement recommendations are made.

On February 5, 2003, representatives from KOG Associates, Inc. met with your staff and identified several revisions to the draft report resulting from that review. The attached final report represents the results of that discussion and the initial review.

KOG Associates, Inc. is grateful for the opportunity to conduct this evaluation and would be pleased to offer its services should the Los Angeles County Community and Senior Services Department, Administrative Services Branch desire assistance with the development and implementation of the recommendations contained in this report.


Earle Smith, Vice President
KOG Associates, Inc.

An Evaluation of the Current Workforce Investment Act Fiscal System

Operated by

**The Los Angeles County Community
and Senior Services Department,
Administrative Services Branch**

Conducted by:

Linda Manion and Earle Smith

Representing

KOG Associates, Inc.

February, 2003

The Workforce Investment Act of 1998 requires that fiscal control and fund accounting procedures comply with generally accepted accounting principles applicable in each State.

SEC. 184. FISCAL CONTROLS; SANCTIONS.

(a) Establishment of Fiscal Controls by States --

- (1) In general --Each State shall establish such fiscal control and fund accounting procedures as may be necessary to assure the proper disbursement of, and accounting for, Federal funds allocated to local areas under subtitle B. Such procedures shall ensure that all financial transactions carried out under subtitle B are conducted and records maintained in accordance with generally accepted accounting principles applicable in each State.

SEC. 185. REPORTS; RECORDKEEPING; INVESTIGATIONS.

(e) Quarterly Financial Reports --

- (1) In general --Each local board in the State shall submit quarterly financial reports to the Governor with respect to programs and activities carried out under this title. Such reports shall include information identifying all program and activity costs by cost category in accordance with generally accepted accounting principles and by year of the appropriation involved.

GAAP is intended to provide minimum standards, guidelines, and policy for financial accounting and reporting. GAAP ensures that a reader of financial information will be reviewing financial data and reports that are consistent, comparable, and present fairly the financial results of an organization.

Whether a government, educational agency, private non-profit or for-profit (commercial) organization, each entity is involved in different activities for generating revenues (taxes vs. tuition). Entities also have different legal requirements (funds must be appropriated and encumbered vs. only budgeted), or can account for specific items in more than one way (inventories being capitalized or directly expensed). The framework and structure of the accounting system also varies such as a fund accounting vs. a standard full accrual accounting system. However, among similar types of entities or organizations, the GAAP requirements are the same.

Basic Concepts and Principles

GAAP includes some basic concepts and principles that apply to all entities, financial systems, and financial reporting requirements.

Detailed Information to Account for Awards and Obligations

The financial accounting and reporting system shall contain sufficient detailed information to accurately account for subgrant and contract awards, obligations, unobligated balances, assets, liabilities, expenditures, and income.

Consistent Treatment of Information

Financial transactions and data should be treated consistently.

Fair Presentation/Full Disclosure

The system should present fairly and fully disclose the financial position and results of the entity or organization's operation.

Conformance with Legal and Contractual Provisions

The system ensures compliance with legal and contractual provisions and with the entity or organization's fiduciary responsibilities.

Matching Revenues with Related Expenses

Revenues are matched with related expenses for the same time period. Revenues are recorded when earned and expenses are recorded when incurred. Grants are generally recognized as revenues when the actual expenditures financed by the grants are incurred. Miscellaneous revenues (program income/interest) should be recognized when received.

Fund Accounting on a Fund Basis

The accounting system should be established on a fund basis. A fund is a self-balancing set of accounts, recording all assets, related liabilities, and fund balances.

Budgetary Control

There should be appropriate budgetary control and budgetary comparisons should be included in the financial statements and schedules. The Federal grant file should contain planning instructions, program design standards, applicable program planning and budgetary documents, all comparisons between planned and actual performance, and required corrective actions during a program year, as well as periodic fiscal reports.

Modified Accrual Accounting

The modified accrual or accrual basis of accounting should be used in measuring financial position and results of financial operations. The modified accrual basis of accounting refers to a combination of accrual and cash accounting. Items (revenues and expenses) that can be accurately estimated are accrued. If the items cannot be accurately estimated then the cash basis of accounting and reporting is used. For

Federal grants, modified accrual accounting also refers to cash basis accounting, with accruals calculated and recorded in the records or on worksheets for inclusion in required reports.

Common Terminology and Classification

Terms and classifications should be used consistently throughout the financial accounting system, including the budget, the accounts, and the financial reports of each fund for the entity/organization.

Interim and Comprehensive Annual Financial Reports

Statements of financial position, operating results, and other pertinent information and schedules should be prepared to facilitate management control of financial operations, external/legislative oversight, an entity's or organization's fiduciary responsibilities, and external reporting purposes.

Recipients must ensure that funds are obligated and expended in a timely manner. Although States must submit quarterly reports to the U.S. Department of Labor, they may decide to require more frequent reports from subrecipients to ensure timely management oversight.

To insure its compliance with this requirement, the Los Angeles County Community and Senior Services Department, Administrative Services Branch contracted with KOG Associates, Inc. to:

- Conduct an on-site evaluation of its current Workforce Investment Act Fiscal System;
- Provide written recommendations for system improvement; and
- Provide training/technical support to County and subcontractor staff in the application of County policy and requirements.

January 8 and 9, 2003, KOG Associates, Inc. staff conducted an onsite review of the Fiscal and Budget Division of the County Department of Senior and Community Services to ascertain whether or not that Division maintained fiscal accountability and control in accordance with Generally Accepted Accounting Principles (GAAP).

The following are recommendations made as a result of that review:

Accounting Procedures

- **Establish a single accounting system, which provides data allowing monitors and program administrators to make informed decisions**

From interviews with various staff members, it became apparent that there is no single source of information for all contracts awarded under the Workforce Investment Act. Various employees, within and without the Division, maintain information regarding awards and payments to contractors. There is no assurance that any of these records contain all of the contract information required.

The Division, as required by GAAP, must maintain fiscal control and fund accounting procedures, as may be necessary to assure the proper disbursement of, and accounting for, Federal funds. Its procedures must ensure that all financial transactions are conducted and records maintained in accordance with generally accepted accounting principles.

To achieve a level of assurance that information is maintained in accordance with GAAP, the Division needs to:

- **Develop a flowchart of a process for receipt, review, approval and payment of invoices**

The Division does not have a written process for staff to review and follow on how payment of invoices should occur. The absence of this written information leads to error and misinformation among staff. Such a flow chart should be developed along with a narrative description of the process. Once developed, service provider and Fiscal and Budget Division staff should be trained on the process.

In developing the recommended flow charts the Division or an outside contractor should:

- (a) Interview all staff to determine their responsibilities;
- (b) Match interview information with tasks assigned to each unit;
- (c) Determine deficiencies and lack of internal controls; and
- (d) Rewrite process.

- **Develop obligation, expenditure and cash control registers**

The Division does not maintain a control register for all obligated funds to contractors nor does it maintain updated and accurate information related to expenditures and payments. This has led to overpayments to contractors and erroneous information provided to managers. The development of these registers would allow the Division to compare total expenditures with available funding to ensure overpayments are not made. These ledgers can also provide information related to the under expenditure of awarded funds and strengthening the ability to recapture funds and redirect them to a more in-need population.

During the process of developing the registers, the Division or an outside contractor should:

- (a) Identify all awards both program and consultant made by agency;
- (b) Determine amounts awarded including all current modifications;
- (c) Determine payments made;
- (d) Identify all invoices submitted;
- (e) Determine deficiencies and lack of internal controls; and
- (f) Rewrite process.

▪ **Establish a tracking system and procedure for treatment of carryover funds**

There is no written agreed upon process for the carryover of funds to contractors. Historically, this has caused confusion among contractors and staff regarding how carryover funds should be treated and considered in the contracting process. A tracking system that identifies unspent funds early in the award process and written procedures that require the expenditure of such funds on a first-in first-out accounting method will minimize the possibility that the County of Los Angeles will be required to return funds to the State of California.

During the process of establishing a tracking system and procedure for treatment of carryover funds, the Division or an outside contractor should:

- (a) Identify all program awards;
- (b) Determine amounts awarded including all current modifications;
- (c) Determine final closeout costs;
- (d) Identify carryover funds;
- (e) Determine need or authority to carryover;
- (f) Determine deficiencies and/or lack of internal controls; and
- (g) Rewrite process.

▪ **Develop a procedure for reviewing costs to ensure proper classification**

It became evident from discussions with staff that costs associated with the administration of the program by the Department are erroneously classified. There appears to be confusion among staff as to the appropriate classification of costs incurred within the Department. Failure to properly classify costs can lead to disallowed costs for the agency. The agency should review their assignment of costs to the program and administration categories as well as the organization of the One-Stop System to ensure advantage is taken of opportunities to assign costs to the program category by minimizing the requirement of service providers to assign expenses to the administration category.

To ensure costs are properly classified, the Division should:

- (a) Review current instruction on classification of costs;
- (b) Determine deficiencies;
- (c) Identify costs allocable to the agency and classify correctly;
- (d) Establish procedures for ensuring proper classification of future costs; and
- (e) Ensure information regarding cost classification is provided to contractors.

Cash Drawdowns Including Forecasting and Cash Management Procedure

Currently, the County Department of Senior and Community Services requests cash from the Employment Development Department (EDD) on a reimbursement basis using County General Fund moneys to administer the Workforce Investment Act (WIA) program. 29 CFR 97.21 of the Administrative Requirements for Grants to State and Local Governments allows for the request of cash on an advance basis if the recipient of the funds forecasts and restricts the drawdowns to immediate cash needs. The Department should consider the establishment of the following processes that would allow for the use of Federal cash to administer the program and generate more interest income for the County General Funds through a reduction in its use.

- **Establish procedures and policies for disbursement of cash that assures proper internal controls**

Currently there are no written procedures for staff to follow in determining the allowable amount of cash to be disbursed to any one contractor. Without these internal controls, overpayments have been made to contractors that could not be recouped. The Fiscal and Budget Division should develop a methodology for analyzing payments made to date against expenditures incurred and provide training to affected staff.

During the process of establishing procedures and policies for disbursement of cash that assures proper internal controls, the Division or an outside contractor should:

- (a) Determine the amounts and number of drawdowns received in a month by the contractor;
- (b) Determine the time required to request a disbursement by the County Auditor-Controller including execution of the warrant;
- (c) Establish a forecasting system using the above information;
- (d) Establish written procedures for request and disbursement of funds; and
- (e) Provide contractors with information regarding requests for cash and reimbursement.

- **Establish internal controls for processing of all refunds**

There are no written procedures or internal controls in place governing the processing of refund checks from contractors. There is no way currently for the Division to determine when checks should be deposited in the General Fund versus returning the funds to EDD for repayment of a disallowed cost. A policy and supporting procedures should be developed that provides guidance on the appropriate treatment of refund checks from contractors resulting from findings contained in audits, reviews, investigations and other reports resulting from fiscal and program monitoring.

During the process of establishing internal controls for processing of all refunds the Department or a contractor should:

- (a) Establish written procedures for the handling of various types of refunds including their submission by contractors;
- (b) Provide information to contractors and staff; and
- (c) Establish tracking system and internal controls for receipt of refunds.

▪ **Develop a reporting handbook for required reports**

The Division needs to prepare a handbook with written procedures for the development of required reports. Without the existence of such a document, new employees have no point of reference to appropriately perform their tasks.

During the process of developing a reporting handbook for required reports the Department or a contractor should:

- (a) Identify all required reports issued by the unit
- (b) Identify all issued reporting procedures
- (c) Draft a handbook containing all information for reporting
- (d) Request review and comment by staff and possibly contractors
- (e) Issue handbook

▪ **Establish a process for review and approval of vendor and subcontractor invoices including a checklist**

The Division staff needs to develop a checklist and procedures for the review and approval of vendor and subcontractor invoices in order to identify reporting errors. This will allow the staff to ensure that amounts claimed are in line with budgeted line items. The procedures should include steps that will be taken in instances where errors are identified. Once developed training should be provided to appropriate staff.

During the process of establishing a process for review and approval of vendor and subcontractor invoices including a checklist the Department or a contractor should:

- (a) Determine current process for payment of vendor and subcontractor invoices through staff interviews
- (b) Identify deficiencies and any lack of internal control
- (c) Write procedure
- (d) Provide information to contractors as well as staff

▪ **Establish a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis**

The Division does not have a policy, which ensures that funds and expenditures are FIFO'd. Without this policy it is possible that old year grants can expire with available funds still remaining resulting in a loss of funding to the Department. Such a policy should be developed and training provided to appropriate staff.

During the process of establishing a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis the Department or a contractor should:

- (a) Determine remaining fund balances from prior years;
- (b) Establish a procedure for liquidation of prior year funds before applying expenditure to current year allotments;
- (c) Write procedure and disseminate to staff; and
- (d) Make adjustments to current year contracts to ensure all prior year funds are liquidated to date.

- **Establish a process for periodic reconciliation of expenditures claimed by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting system to CAPS**

The CAPS is the official accounting books of the County Department of Senior and Community Services and any subsidiary ledgers are required to tie to those records. The lack of that audit trail could bring all of the costs and cash drawdowns of the Department into question. Once written procedures are developed, appropriate staff should be trained in their application.

During the process of establishing a process for periodic reconciliation of expenditures claimed by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting system to CAPS the Department or a contractor should:

- (a) After the development of an approved internal accounting system and the determination of actual expenditures by the agency and by contractors, perform a reconciliation to the approved system;
- (b) Develop procedures to perform reconciliation; and
- (c) Write procedures.

- **Develop a process for identifying contractors who will no longer be funded and procedures for closing out contracts**

Currently, the Division has no tracking system or procedures for identifying and notifying contractors who will no longer be receiving funding from the Department. The inability to promptly identify unspent funds may limit the County's ability to promptly respond to special needs clients. Development of a process for the deobligation of funds awarded to contractors who will no longer be funded and training staff in the process for returning these funds to the County's Unobligated balance will reduce the potential that a service provider could draw down unauthorized money.

During the process of developing a process for identifying contractors who will not longer be funded and procedures for closing out contracts the Department or a contractor should:

- (a) Establish procedure for recording expiration date of contracts and automated "tickler file" to remind staff of contract expiration dates;
- (b) Write procedures for establishing file and for notices to be provided to the contractor for submission of closeout documents; and
- (c) Write closeout procedures.

Oversight

- **Establish a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies**

The Department does not currently have a process in place for conducting consistent and timely oversight of WIA and other programs. The State requires two on-site reviews conducted annually of all WIA contract awards and the Federal government requires the Department as an awarding agency to ensure that applicable contractors comply with the Single Audit requirements.

During the process of establishing a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies the Department or a contractor should:

- (a) Develop a schedule of all contractors that will require oversight visits during a program year.
- (b) Develop a policy related to identification of risk that will allow the focus of resources on those programs with the highest need
- (c) Develop common monitoring oversight tools
- (d) Develop and establish an oversight process for one-stop resource sharing agreements
- (e) Develop oversight guide for consistent review
- (f) Identify all contractor awards
- (g) Develop risk factors
- (h) Establish policy for oversight
- (i) Establish a schedule using risk factors for priority

▪ **Develop procedures for writing monitoring reports and resolution of findings**

To ensure consistency, there needs to be standard processes and formats for writing monitoring reports and resolving findings resulting from reviews. These formats should be developed by the proposed Quality Assurance and Fiscal Accountability Unit and include steps for writing recommendations for resolution and/or corrective actions.

During the process of developing procedures for writing monitoring reports and resolution of findings the Department or a contractor should:

- (a) Develop policies and written procedures for the writing and resolution of monitoring reports; and
- (b) Provide training to monitors on their use.

▪ **Establish a tracking system to identify contractor audit requirements and resolution**

The Department, as the awarding agency, is required by OMB Circular A-133 to ensure that all subrecipients covered by the Single Audit Act conduct an audit in accordance with the requirements of that Act. The WIA regulations at 667.200(b)(2)(ii) also require that for-profit agencies that are subrecipients and expend \$300,000 or more in federal funds conduct an annual audit. Any findings resulting from those audits must be resolved in a 6-month period. Currently, the Department does not have a tracking system to ensure that this occurs. The recommended Quality Assurance and Fiscal Accountability Unit should be tasked with the responsibility of developing a review tracking system that records findings and uses this information as a part of the Department's Continuous Improvement System by developing service provider and Department staff training.

During the process of establishing a tracking system to identify contractor audit requirements and resolution the Department or a contractor should:

- (a) Use the listing of contractors to identify audit requirements for each entity
- (b) Notify each contractor that copies of audit reports are required with specific time after issuance
- (c) Establish policy for delinquent audits
- (d) Establish policies and procedures for resolution of audit findings

▪ **Establish a system for debt collection that assures the proper disposition (reprogramming or refund to State) of disallowed costs**

In line with the resolution of audits and monitoring findings, the Department is required by WIA to ensure that any funds recovered from disallowed costs are either reprogrammed or refunded to the State. Although a debt collection policy exists for the operation of One-Stop Centers there is no universal process established for debt collection or an accounts receivable system for tracking outstanding debts. The Department should develop and train staff on the implementation of a system for the

collection of debts that clearly delineates the disposition of funds collected and the process for closing any fiscal findings.

During the process of establishing a system for debt collection that assures the proper disposition (reprogramming or refund to State) of disallowed costs the Department or a contractor should:

- (a) Develop debt collection policies and procedures
- (b) Provide information to staff and contractors
- (c) Develop tracking system for debt collection
- (d) Identify any current outstanding debts
- (e) Include current debts on system

Policies

In the course of the review and as a result of interviews with staff, it was determined that no policies currently exist for the following critical financial management areas. Without these policies, there is a potential for misexpenditure or misapplication of funds resulting in disallowed costs:

- Procedure for reporting and accounting for program income
- Clear definitions for the classification of costs and how classification can be determined
- Acceptable source documentation
- Modification of contracts that are not in compliance with budgets
- Coordination between fiscal and program review staff

It is recommended that Departmental level policies and procedures relating to the issues listed above are developed and training provided to Department and service provider staff.

Provide Staff Training:

Based on the above observations, it is recommended that staff be trained in the following areas to ensure consistency in how work is performed.

- Proper classification of costs
- Internal accounting processes and procedures
- Fiscal policies
- Oversight
- Audit determination and resolution of debts
- Fraud and abuse

Additional Recommendations:

Because of the multitude of programs and contractors who are recipients of County awards by CSS, it is suggested that the Department consider the following:

- Create cross-functional work teams that allow County Department of Community and Senior Services staff to meet with others sharing common processes and discuss the impact processes have on the performance of tasks. These cross-functional work teams would review and make recommendations for process modifications resulting in improved system efficiency and effectiveness.
- Establish a regular communication process with other Los Angeles area Workforce Investment Areas regarding shared contractors and provide for the exchange of information gathered from review of other fund sources with common providers.

Given the fact that many contractors are multiple funded by various Workforce Investment Boards in the Los Angeles Basin, it would seem cost effective to share information in order that problems could be identified early and corrective actions applied consistently among the various WIBs.

The monitoring of contractors who provide services to participants first came into prominence under the Comprehensive Employment and Training Act (CETA). Quality Assurance or Independent Monitoring Units were highly visible elements of the administration of CETA programs that were then under the domain of Prime Sponsors. When CETA was succeeded by JTPA, States became the chief watchdog of employment and training programs. As a natural extension of the "new federalism," Federal administrative responsibilities were decentralized to the States who then became the most active monitors of JTPA programs. The Workforce Investment Act (WIA) assigns that responsibility for oversight, as well as the liability for any misexpenditure of funds, to the local Workforce Investment Board.

Compliance oversight is important, to be sure. Concerns over accountability for questioned or disallowed costs understandably gain the attention of local program administrators, even though serious situations of this nature are relatively rare. But, there are other reasons why compliance oversight is and should be a major concern for program administrators. First among them is the contribution effective oversight can make to improving and maintaining high levels of performance related to needs of customers under the program. Second is the liability placed on local governments that act as grant recipients.

Viewing compliance and other forms of program oversight within the broader context of customer responsiveness under WIA is an important and growing program challenge. To meet this challenge successfully, program administrators must integrate oversight activities into a broader strategy of ensuring customer satisfaction and quality program

outcomes. Program results of all types will have to be regularly measured, and successes identified, rewarded and built upon, not solely to ensure program integrity, but also to strengthen programs and ensure high quality outcomes. Similarly, failures of all kinds will have to be acknowledged, analyzed, corrected, and learned from in order to build and maintain a program capacity and infrastructure leading to ever improving levels of customer satisfaction and successful results. In addition to a review of the Fiscal and Budget Division of the County Department of Senior and Community Services' system for fiscal accountability and control, KOG Associates, Inc. was asked to review and provide an outline for a new unit that supports, not supplants, the current monitoring efforts of the Department. As such, the development of a Quality Assurance, Fiscal Accountability and Contracts Investigating Unit is recommended. An outline of that unit follows:

Quality Assurance, Fiscal Accountability and Contracts Investigating Unit

Purpose:

- Ensure that monitoring instruments used by the Community and Senior Services Department are adequate for staff to conduct recipient reviews that determine contract, legislative, and regulatory compliance;
- Conduct periodic onsite reviews and participant interviews to validate that the work of Department monitoring staff and contractors are performed in accordance with approved monitoring tools and reports reflect the compliance status of recipients;
- Develop and maintain an automated database of audit, monitoring, and other review findings by recipient that will be used to identify finding status, agency debt, systemic issues, and corrective action requirement. Establish a system for the receipt of audit reports, monitoring reports, investigative memorandum and other reviews;
- Develop a communication system that facilitates the exchange of information between and among program and fiscal staff;
- Serve as a centralized point of contact for all reports of alleged fraud, abuse, gross mismanagement and willful disregard identified through out programs administered by the Community and Senior Services Department. Develop the capacity to conduct, on a timely basis, reviews of service providers and vendors to determine the validity of such reports.
- Establish a system for receipt, recording, review, and closure of all reports of alleged fraud, abuse, gross mismanagement and willful disregard identified through out programs administered by the Community and Senior Services Department;
- Serve as the Liaison with the Los Angeles County Auditor Controller's Office, appropriate department of the State of California and other federal funding agencies to ensure compliance with mandated reporting of issues alleging fraud, abuse, gross mismanagement and willful disregard identified through out programs administered by the Community and Senior Services Department;
- Establish and maintain a system for the closeout of subrecipients and agreements that adequately accounts for the financial activities related to federal and state funding sources annually; and

- Establish a training program, delivered not less than annually, that informs the Community and Senior Services Department and recipient/subrecipient agency staff of methods to identify, report and prevent activities classified as fraud, abuse, gross mismanagement, willful disregard and any systemic issues identified through agency reviews.

Unit Activities:

1. Ensure that monitoring instruments used by the Community and Senior Services Department are adequate for staff to conduct recipient reviews that determine contract, legislative, and regulatory compliance by collecting a copy of all monitoring tools used by the Department and review them for compliance with program guidelines. Where necessary work with monitoring staff to make revisions to current guides. Develop a standardized report format that provides the agency under review the objectives, scope and methodology of the monitoring; and clearly states the findings, recommendations, and corrective action is required.
2. Conduct periodic onsite reviews and participant interviews to validate that the work of Department monitoring staff and contractors are performed in accordance with approved monitoring tools and reports reflect the compliance status of recipients. Staff from the Quality Assurance and Fiscal Review Unit will validate the efforts of monitoring staff by conducting focused reviews of recipient agencies. Information from the focused reviews would identify systemic issues that are used to develop continuous improvement training sessions as appropriate.
3. Develop and maintain an automated database of audit, monitoring, and other review findings by recipient that will be used to identify finding status, agency debt, systemic issues, and corrective action requirement. Establish a system for the receipt of audit reports, monitoring reports, investigative memorandum and other reviews. Information will be generated that identifies dates of monitoring reviews based on the schedule of visits provided by the appropriate unit. Requirement for audit will be determined and entered into system providing a source of information that is used to measure compliance with the requirements of OMB Circular A-133 and the appropriate legislation. Resolution and debt collection activity will be tracked based on mandated timelines contained in the Single Audit Act and applicable legislation or regulation. Findings resulting from audit reports, monitoring reports, investigative memorandum and other reviews will be tracked and continuous improvement programs developed responding to systemic issues.
4. Develop a communication system that facilitates the exchange of information between and among program and fiscal staff by the creation of a functional workgroup that meets on a regularly scheduled basis to discuss best practices related to program/fiscal monitoring. This workgroup will have input into monitoring procedures, monitoring tools and identification of agency risk. Site visit schedules will be coordinated minimizing the time recipients must devote to monitoring activities.

5. Maintain an automated system that records the receipt and status of reports of alleged fraud, abuse, gross mismanagement and willful disregard identified throughout programs administered by the Community and Senior Services Department. This system will record the date any such occurrence is discovered, the means by which the occurrence was discovered, action taken to verify or clear such allegations, dates of communication with the appropriate state and federal agencies, corrective action requirements resulting from the review of any allegations, and closure action taken by the Community and Senior Services Department in resolution of any findings.
6. Conduct not less than one on-site review of providers monthly to validate the effectiveness and efficiency of the monitoring process used by Community and Senior Services Department monitors. As a result of these reviews, make recommendations for system improvement that will enhance the ability to safeguard federal funds awarded to the Department for the purpose of meeting the needs of clients.
7. Establishes a system for determining the potential risk presented by service providers when operating federally financed programs. Risk will be based on an overall evaluation of the risk of noncompliance occurring that could be material to the federally funded program. While making a determination of risk, the system should consider any known or apparent weaknesses in the service provider's internal controls that would indicate higher risk. Criteria developed should consider the control environment and such factors as the expectation of management's adherence to applicable laws, regulations, and provisions of contracts and grant agreements, as well as the competence and experience of personnel who administer the programs. Other factors may also be included in the criteria for determining risk.
8. Develop the capacity to go on site within 48 hours after allegations of fraud, abuse, gross mismanagement and willful disregard are received to determine the validity of such charges and if necessary develop a plan of action that will protect Community and Senior Services Department allocations and general funds.
9. Develop and present not less than annually a course on the identification, prevention and reporting of incidents alleging fraud, abuse, gross mismanagement and willful disregard on behalf of Community and Senior Services Department staff and contractors.
10. Become familiar with all grant terms and conditions related to closeout; Review and update closeout procedures to ensure compliance with fund mandates; and Ensure that Community and Senior Services Department closeout processes will meet due dates required by funding source.

11. Develop and provide training not less than annually to service providers and vendors required to provide closeout reports to ensure each organization understands the actions that are required for closeout, can fulfill its closeout responsibilities, and understand their responsibilities beyond closeout.
12. Develop a process to identify problems/issues that frequently arise as a result of the closeout process and prescribe a way to correct them that minimizes the requirement for resolution.

These observations are based on evaluator's combined experience of more than 40 years in employment and training programs and are intended to assist the Fiscal and Budget Division of the County Department of Senior and Community Services in its mission to safeguard federal, state and general funds allocated to it for the benefit of the citizens of Los Angeles County.



Earle Smith, Vice President
KOG Associates, Inc.

Follow-Up Review of Employment and Training Fiscal Accounting and Budget Accounting Unit (KOG Associated, March 2004)

March 19, 2004

Ms. Cynthia Banks, Deputy Director
Community and Senior Services
3175 West Sixth Street, Room 300
Los Angeles, CA 90020

Dear Ms. Banks,

Re: Results of February 1 and 2, 2004 Interviews and Follow-Up Review Prior of Recommendations

This response is to provide you with outcomes of interviews performed by KOG Associates, Inc. per your request on February 1 and 2, 2004, at Community and Senior Services (CSS). This scheduled time was spent evaluating actions taken in response to two recommendations of on-site reviews. The first review was with Employment and Training Fiscal Accounting in January 8 and 9, 2003; the second on-site review was conducted with the Budget Accounting Unit on May 22, 2003. Additionally, on February 1 and 2, 2004 we conducted interviews with Program Managers from the Employment and Training and Aging Branches of CSS in regards to monitoring, audit practices, general program policies and procedures now in place and discuss staff concerns.

The first section of this report pertains to the actions taken in response to the two interview dates. The later component is in response to interviews with Program Managers.

EVALUATION OF (JANUARY 2003/MAY 2003) RECOMMENDATIONS

1. Accounting Procedures

Recommendation: Establish a single accounting system, which provides data allowing monitors and program administrators to make informed decisions.

Outcome/Observation: CSS is in the final testing process in the development of a Grants Financial Accounting System (GFAS) The purpose of the system is to have an integrated grants financial management system in place that can be easily accessed and provide information that would allow management to make decisions based on available financial data. The pilot test began January 13, 2004 and it is estimated that the system will be operational by July 1, 2004. The GFAS will need to address the needs of AAA, CSBG or Refugee programs in that the obligation of funds to contractors will not accommodate the State reporting requirements.

Recommendation: Develop a flowchart of a process for receipt, review, approval and payment of invoices.

Outcome/Observation: A flowchart has been developed for the Workforce Investment Act (WIA) and a copy was provided to the reviewer. The chart currently reflects the employment and training processes only. Staff interviewed estimated that a chart reflecting this process for other programs administered by CSS would be completed by June 30, 2004. AAA, CSBG and Refugee programs have a flow chart reflecting the process for receipt, review, approval and payment of invoices. Additionally, written procedures exist for the AAA, CSBG and Refugee programs but are old and will require minimal revision to bring them into compliance with new grant requirements.

Recommendation: Develop obligation, expenditure and cash control registers

Outcome/Observation: The GFAS under development is designed to include information related to contract obligation, expenditure and payment (cash). This recommendation will be reviewed a decision made related to the detail of supporting registers once screens are tested. AAA, CSBG, and Refugee programs have obligation, expenditure and cash control registers however; the written procedures that exist are out-of-date and revisions need to be developed. Cash control registers will be developed through this system.

Recommendation: Establish a tracking system and procedure for treatment of carryover funds.

Outcome/Observation: The GFAS will have a provision to track unspent funds from prior year contracts and report them as carry-in to the current year. If carry-in is not permitted accounting staff will be able to de-obligate funding and make them available for obligation in future contracts. The Program Accounting Unit staff has reconciled the past three WIA fiscal years to identify a carry-in balance. Written procedures to maintain the WIA carry-over process will be developed not later than June 30, 2004. AAA, CSBG and Refugee programs do not have a formal process for carry-over. Funds not spent in a single program year roll-forward to new program year, contracts are extended and expenses tracked against available funds. Written procedures for this process will need to be developed.

Recommendations: Develop a procedure for reviewing costs to ensure proper classification.

Outcome/Observation: Employment and Training WIA Fiscal Accounting and Budget Accounting staff continue to calculate an amount equal to 10 percent of total expenditures as a reportable item on Quarterly and Annual WIA financial reports with no related audit trail. Cost allocation is not performed. There is no supporting documentation for the reported expenditures. Failure to properly allocate costs to their appropriate cost categories may result in disallowed costs. Budget/Program Accounting staff has sufficient technical knowledge to assign the proper category to costs incurred by CSS but procedures have not yet been developed to describe the process for such

determinations. Budget and Program Accounting have committed to developing these procedures, which will describe the process for cost in accordance with the appropriate statute.

AAA, CSBG and Refugee Program Accounting and Budget Accounting report expenditures to State agencies based on supportable documentation that reflects actual costs. However, written procedures need to be established.

2. Cash Draw-downs Including Forecasting and Cash Management Procedures

Recommendation: Establish procedures and policies for disbursement of cash that assures proper internal controls.

Outcome/Observation: These processes have not been developed in writing for WIA programs. Staff has been notified that they will need to develop "Desk Procedures". It is planned that staff will develop these procedures, reviewed by the Unit Manager and incorporated in the Branch Policies and Procedure Manual.

AAA, CSGB and Refugee Program Accounting have written procedures, however, these policies need to be reviewed and brought up-to-date to reflect current fund source requirements.

Recommendation: Establish internal controls for processing of all refunds.

Outcome/Observation: Desk procedures are being developed. Staff knows the procedures; however, written documentation has not yet been developed.

Recommendation: Develop a reporting handbook for required reports.

Outcome/Observation: EDD/WIA State reporting instructions serve as internal procedures. Written Instructions for AAA, CSBG and Refugee programs do not exist and need to be developed.

Recommendation: Establish a process for review and approval of vendor and subcontractor invoices, including a checklist.

Outcome/Observation: This recommendation is incorporated into the WIA Program Accounting flowchart. Processes for AAA, CSBG and Refugee programs do not have a complete listing of contractors; institutional knowledge is the basis for completing reviews. The Program Manager depends on each individual contact. Written procedures need to be developed.

Recommendation: Establish a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis.

Outcome/Observation: The carry over process will describe the mandated use of FIFO.

Recommendation: Establish a process for periodic reconciliation of expenditures claims by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting system to CAPS.

Outcome/Observation: The reconciliation process for all programs is the same and does occur monthly. The written process will be included in "Desk Procedures".

Recommendation: Develop a process for identifying contractors who will no longer be funded and procedures for closing out contracts.

Outcome/Observation: Each individual fund source has an undocumented procedure for agencies that are found to be out of compliance and terminated for cause. Although a process exists it needs to be documented. No procedure has been developed that addresses all Department level reporting. However, a process exists within the AAA, CSBG and Refugee programs that can be exported to other programs. This procedure will be shared with all fund managers to determine usefulness. Pressing issues preclude the scheduling of a meeting at this time. As staff resources become available a meeting will be scheduled. In the interim a copy of the AAA, CSBG and Refugee program procedures will be provided to fund source leads with a request to review for applicability and schedule a meeting when time allows. AAA, CSBG and Refugee programs will review process for closeout to ensure compliance with current statutes.

The Quality Assurance Unit will coordinate the development of a common procedure with input from all Departmental fund sources

3. OVERSIGHT

Recommendation: Establish a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies.

Outcome/Observation: A centralized listing of contractors has been developed. No comprehensive oversight schedule has been developed. A monitoring tool has been developed and approved by Auditor-Controller that identifies common review areas and areas specific to each fund source. This tool is being tested in the field. The Auditor-Controller will provide training to staff during the month of March. Auditing techniques and monitoring training will focus on guidelines and Q&A sessions.

Recommendation: Develop procedures for writing monitoring reports and resolutions of findings.

Outcome/Observation: Written procedures have been developed and are under review for usefulness across fund sources. The process is not centralized and needs to involve other fund source managers to agree on a common process.

Recommendation: Develop a tracking system to identify contractor audit requirements and resolution.

Outcome/Observation: An untested system exists in the IT Unit. It allows the input of agencies, monitor name, audit requirement, audit results. The tracking system is tied into the GFAS that identifies findings to contract files allowing tracking of open and resolved findings. Currently, within the system only agencies receiving over \$500,000 are required to turn in Single Audit Reports, Procedures that address contractors who receive less than \$500,000 need to be established. The system is in testing mode and can be ready not later than February 2004.

Recommendation: Establish a system for debt collection that assures the proper disposition (reprogramming of refund to State) of disallowed costs.

Outcome/Observation: No process has been developed.

4. Policies

It is recommended that the following policies be developed:

Procedure for reporting and accounting for program income

Outcome/Observation: Policies and accompanying procedures have not been developed.

Clear definitions for the classification of costs and how classification can be determined

Outcome/Observation: Policies and accompanying procedures have not been developed.

Acceptable source documentation

Outcome/Observation: Policies and accompanying procedures have not been developed.

Modification of contracts that are not in compliance with budgets

Outcome/Observation: Policies and accompanying procedures have not been developed.

Coordination between fiscal and program review staff

Outcome/Observation: Policies and accompanying procedures have not been developed

5. Provide Staff Training

It is recommended that the following training be provided:

Proper classification of costs

Outcome/Observation: A training session has not been scheduled or developed.

Internal accounting processes and procedures

Outcome/Observation: A training session has not been scheduled or developed.

Fiscal Policies

Outcome/Observation: A training session has not been scheduled or developed.

Oversight

Outcome/Observation: A training session has not been scheduled or developed.

Audit determination and resolution of debts

Outcome/Observation: A training session has not been scheduled or developed.

Fraud and abuse

Outcome/Observation: A training session has not been scheduled or developed.

6. Additional Recommendations

Create cross-functional work teams that allow CSS to meet with others sharing common processes and discuss the impact processes have on the performance of tasks. These cross-functional work teams would review and make recommendations for process modifications resulting in improved system efficiency and effectiveness.

Outcome/Observation: Cross-functional work teams have not been developed. During the follow-up review, it became evident that staff is developing a feeling of isolation. Pressure by the Board of Supervisors has intensified a feeling of "us and them" and Units are becoming more territorial. The development of cross-functional work teams will provide information to staff about other Units and create an understanding of how their function fits into the mission/goals of the Department.

Establish a regular communication process with other Los Angeles Area Workforce Investment Boards regarding shared contractors and provide for the exchange of information gathered regarding from review of other fund sources with common providers.

Outcome/Observation: State policy on monitoring requires Workforce Investment Areas that share contractors to share findings and corrective action requirements.

Create and staff a Quality Assurance, Fiscal Accountability and Contracts Investigating Unit.

Outcome/Observation: A unit has been created and staff assigned. Workload suggests the need for additional staff. Job descriptions have been developed but have not been approved by the CAO and desk procedures are not yet developed. During this review it appeared that information regarding the purpose of this Unit is not well disseminated within the Department and a frustration is developing as Quality Assurance, Fiscal Accountability and Contracts Investigating Unit Staff are asked to take on additional responsibilities.

Recommendations Budget Accounting Review

1. Recommendation: Budget is not used to promote study, research and a focus on the future. Program managers are provided with expenditure information that can be used in the preparation of future program budgets. This information is contained in the monthly Cost Statements. KOG recommends that a training session be developed that provides information to Program Managers in the use of this information while developing future budgets.

2. Recommendation: The budget does not appear to provide a basis for evaluating performance. Program managers do not appear to be using monthly expenditure information provided by the Budget Unit to evaluate program operations. Comparing planned expenditures with actual expenditures will provide advance notification of potential funding shortfalls or under expenditure. Program managers can make adjustments in staffing levels or line item estimates early in a program year avoiding revisions in staff time reporting that may result in questioned or disallowed costs.

3. Recommendation: The budget does not appear to be a source of motivation. Program managers do not appear to be using budget information to assist in the direction or redirection of staff.

4. Recommendation: Budgeting does not appear to be a means for coordinating grant activities. Program Managers in directing staff do not use budget information when addressing emergency situations. A manager that is experiencing a need for additional support when appropriate should look to other managers experiencing budget shortfalls for assistance.

5. Recommendation: Budgeting is not a means of communicating plans and instructions. Program Managers do not appear to be using budget information as a means of reporting the completion of Unit objectives. A regularly scheduled meeting among the Assistant Directors and Program Managers should be scheduled where performance information and meeting Department objectives is exchanged.

6. Other Issues Identified

Departmental Indirect Costs are not constructed in an allowable manner.

A cost allocation plan, approved by the County Auditor-Controller, has been implemented with a basis of 50% Direct Salaries and 50% Services and Supplies. This methodology complies with requirements of the Office of Management and Budget Circulars and fairly distributes indirect costs. In the future, alternative methods may be presented to management if funding levels change.

The Department's WIA administrative costs are not distributed in accordance with an allowable manner.

Resolution to this recommendation has not been implemented. Reported administrative expenditures for WIA are based on the arbitrary assignment of 10 per cent of total expenditures without consideration of actual expenses or supporting documentation. Office of Management and Budget Circulars require that costs must be charged to the object receiving benefit. In this case, administrative costs may be charged to the Program category creating a potential disallowed cost. KOG maintains the recommendation that costs be classified according to direction provided in the Code of Federal Regulations and reported properly. To determine the potential liability incurred by the County, it is recommended that a review of actual administrative expenses costs is performed and the amount compared to the administrative expenses reported to the State. If there is a difference, adjustments can be made in future reports so the amount reported at the end of the Program year reflects actual expenditures.

The organization of the One-Stop System may cause CSS to misclassify administrative and program costs reported to the State EDD.

CSS continues to identify agencies of the WorkSource Centers as One-Stop Operators. This organizational design requires the allocation of administrative funds to support WorkSource Center operation reducing the available administrative dollars at the County level. If there should be a review of actual administrative expenditures and then compared to report administrative expenditures, it may identify an issue of non-compliance. The additional administrative funds generated at the County level as a result of designating CSS staff as the One-Stop Operator may be sufficient to liquidate any liability created as a result of accruing administrative expenses in excess of available funds.

ISSUES IDENTIFIED BY INTERVIEWEES FEBRUARY 1, AND 2, 2004

Need to notify Program Accounting Unit of any cost issues affecting vendor payments discovered during monitoring/auditing.

Need to standardize monitoring process by reviewing copies of all monitoring instruments, program invoices, contract budget forms, etc. and standardizing activities.

Need to change invoicing process from fixed fee to cost reimbursement.

Need to provide training to program managers and monitoring staff to maximize resources and understand fixed fee vs. cost reimbursement approach. This is particularly an issue for Refugee programs.

Level and quality of monitoring staff is not sufficient to ensure compliance of contractors and efficiency of program. Need to review assigned staff abilities develop training plans and if necessary redirect existing staff that has necessary skill sets.

A system for identifying the risk associated with doing business with certain contractors does not exist.

Need to interview staff and develop a resource manual that reflects methods of activity performance. This information would roll up to a Unit and Section Manual and serve as a training guide for new staff.

Staff Interviews:

Cynthia Banks
Kristina Buu
Yolanda De Ramus
Carol Domingo
Crystal Huang
Ken Kessler
Henry Knowls
Yonda Lee

Josie Marquez
Maggie Mireles
April Mitchell
Hortensia Prihoda
Geraldo Rodriguez
Jackie Lynn Sakane
Alan Tang
Ellie Wolfe

This report is submitted as a systems improvement tool and is not intended to establish formal findings. Any questions related to the opinions expressed may be addressed with Earle Smith either by telephone contact at (916) 685-5886 or email at esmithkog@aol.com.


Earle Smith, Vice President
KOG Associates, Inc.

CC: Mr. Ken Kessler

Evaluation of Budgeting Accounting Section (*KOG Associated, July 24, 2003*)

blue

blue is a perspective



Mr. Ken Kessler
County of Los Angeles
Department of Community and Senior Services
Administrative Services Branch
3175 West Sixth Street
Los Angeles, CA 90020-1798

July 24, 2003

Dear Mr. Kessler:

Final Report on Evaluation of the Budget Accounting Section

Attached, please find the report resulting from a review of the Los Angeles County Community and Senior Services Department Budget Accounting Section conducted by KOG Associates, Inc.

The purpose of the review was to:

- Conduct an on-site evaluation of the County of Los Angeles Department of Community and Senior Services Budget Accounting Section;
- Review the County of Los Angeles Department of Community and Senior Services 2002-2003 Indirect Cost Proposal, Minor Object Detail Listing, 2003-2004 Budget Instructions, and Monthly Cost Statement for February 2003;
- Provide written recommendations for system improvement; and
- Provide training/technical support to County staff as appropriate during the conduct of the review.

The review was conducted June 11 through 12, 2003, with additional technical assistance provide July 16 and 17, 2003.

Issues identified and recommendations for corrective action are contained throughout the report however it is recommended that immediate attention is given to the issue related to Cost Allocation as there is an immediate impact on the current year (2002-2003) that can be realized.

Should you have any questions or comments related to the contents of this report please feel free to contact me by telephone at (916) 685-5886 or email at esmithkog@aol.com.

Sincerely;


Earle Smith, Vice President
KOG Associates, Inc.

August 13, 2003

To: Ken Kessler

From: Ellie Wolfe

**SUBJECT: KOG ASSOCIATES, INC. EVALUATION OF BUDGET
ACCOUNTING SECTION**

Attached is a copy of the KOG Associates, Inc. Evaluation of the Budget Accounting Section. The purpose of this evaluation is to assist Community and Senior Services (CSS) in moving forward in correcting the current systems, create higher quality systems and to be in compliance with State and federal regulations. The applicable segments of the evaluation will serve CSS as a guidance tool in our continued endeavors to bring CSS up to the high standards that you and the management team are striving to attain.

Many of the areas that necessitate change or correction will be met as the new Grants Financial Accounting System (GFAS) is put into place. The new cost allocation plan will be applied within this system through the established business rules.

CSS has requested that Linda Manion give our Budget Accounting staff technical assistance and training to use the new mythology for our cost allocation plan. This plan will be applied the recommended plan to our 2003-2004 accounting system beginning with the month of July.

In response to various other findings, issues are being conducted in silo's by program staff and/or budget accounting; however, thus creating disconnect. The branches need to be brought together to establish better planning to bring resolution to these findings. It is suggested that the AD's discuss this; if this is acceptable we can begin to plan these sessions in concurrence with GFAS meetings.

One method that addresses the issues is through the GFAS. This brings together the branches in an exchange of information and creates an atmosphere to working closely together. The progress we have made to date is a good example as to how successful this can be. More staff meetings and taskforces need to be established between branches. Although the GFAS system address many of these issues in finding resolution to the issues an additional asset will be the new staff that may/will be coming on board to assist with the management of the Budget Accounting and Program Fiscal Accounting Units.

As you know this will always be a work in progress. We will continue to procure services of KOG and/or other Professional consultants to provide further training as may be needed as we proceed with our enhancements. Currently, we have scheduled with the California Department of Employment and Training Workforce Investment Division to conduct training on Subrecipient Fiscal Monitoring. This training will assist staff to understand the existing and new state and federal regulations in their relationship to Workforce Investment Act programs. A portion of this training is dedicated OMB Circulars, which ones are appropriate for which types of programs and agencies. Both scheduled training sessions are full to date.

If you have any further questions let me know.

**An Evaluation of the
Budget Accounting Section**

Administered by

**The Los Angeles County Community and
Senior Services Department,
Administrative Services Branch**

Conducted by:

Linda Manion and Earle Smith

Representing

KOG Associates, Inc.

July 2003

On May 22, 2003, KOG Associates, Inc. contracted with the Los Angeles County Community and Senior Services Department to review its Budget Accounting Section and render an opinion on its effectiveness and efficiency. June 11 through 12, 2003, KOG Associates, Inc. staff conducted that onsite review to ascertain whether or not that Section maintained budgetary accountability and control in accordance with Generally Accepted Accounting Principles (GAAP). On July 16 and 17, 2003 technical assistance was provided in the areas of cost distribution and alternative methods for designation of a One-Stop Operator. In addition technical assistance was provided during the on-site staff interviews and the exit conference.

In the performance of this contract, KOG Associates, Inc.:

- Conducted an on-site evaluation of the County of Los Angeles Department of Community and Senior Services Budget Accounting Section;
- Reviewed the County of Los Angeles Department of Community and Senior Services 2002-2003 Indirect Cost Proposal, Minor Object Detail Listing, 2003-2004 Budget Instructions, and Monthly Cost Statement for February 2003;
- Provided written recommendations for system improvement; and
- Provided training/technical support to County staff as appropriate during the conduct of the review.

In reviewing the budget systems, representatives of KOG Associates, Inc. looked at the following areas:

- Roles and Responsibilities of Budget Accounting Section staff;
- Linkages with other Department of Community and Senior Services Sections; and
- Subcontracted Funds related to Workforce Investment Act Service Providers.

The Workforce Investment Act of 1998 requires that fiscal control and fund accounting procedures comply with Generally Accepted Accounting Principles (GAAP) applicable in each State.

Note:

While the focus of this report is on the use of Workforce Investment Act funds, the Generally Accepted Accounting Principles referenced in this report are applicable to all Federal fund sources. Based on this fact it is appropriate to assume that the issues identified and recommendations contained in this report cross over to other funds administered by the Los Angeles County Department of Community and Senior Services. These fund sources should be reviewed in the same light applied to Workforce Investment Act funds and if appropriate recommendations applied thereto.

SEC. 184. FISCAL CONTROLS; SANCTIONS.

(a) Establishment of Fiscal Controls by States --

- (1) In general --**Each State shall establish such fiscal control and fund accounting procedures as may be necessary to assure the proper disbursement of, and accounting for, Federal funds allocated to local areas under subtitle B. Such procedures shall ensure that all financial transactions carried out under subtitle B are conducted and records maintained in accordance with generally accepted accounting principles applicable in each State.

SEC. 185. REPORTS; RECORDKEEPING; INVESTIGATIONS.

(e) Quarterly Financial Reports --

- (1) In general --** Each local board in the State shall submit quarterly financial reports to the Governor with respect to programs and activities carried out under this title. Such reports shall include information identifying all program and activity costs by cost category in accordance with generally accepted accounting principles and by year of the appropriation involved.

GAAP is intended to provide minimum standards, guidelines, and policy for financial accounting and reporting. GAAP ensures that a reader of financial information will be reviewing financial data and reports that are consistent, comparable, and present fairly the financial results of an organization.

Whether a government, educational agency, private non-profit or for-profit (commercial) organization, each entity is involved in different activities for generating revenues (taxes vs. tuition). Entities also have different legal requirements (funds must be appropriated and encumbered vs. only budgeted), or can account for specific items in more than one way (inventories being capitalized or directly expensed). The framework and structure of the accounting system also varies such as a fund accounting vs. a standard full accrual accounting system. However, among similar types of entities or organizations, the GAAP requirements are the same. Those requirements relating to budget are:

Detailed Information to Account for Awards and Obligations:

The financial accounting and reporting system shall contain sufficient detailed information to accurately account for subgrant and contract awards, obligations, unobligated balances, assets, liabilities, expenditures, and income.

Consistent Treatment of Information:

Financial transactions and data should be treated consistently.

Budgetary Control:

There should be appropriate budgetary control and budgetary comparisons should be included in the financial statements and schedules. The Federal grant file should contain planning instructions, program design standards, applicable program planning and budgetary documents, all comparisons between planned and actual performance, and required corrective actions during a program year, as well as periodic fiscal reports.

Common Terminology and Classification:

Terms and classifications should be used consistently throughout the financial accounting system, including the budget, the accounts, and the financial reports of each fund for the entity/organization.

Interim and Comprehensive Annual Financial Reports:

Statements of financial position, operating results, and other pertinent information and schedules should be prepared to facilitate management control of financial operations, external/legislative oversight, an entity's or organization's fiduciary responsibilities, and external reporting purposes.

Recipients must ensure that funds are obligated and expended in a timely manner. Although States must submit quarterly reports to the U.S. Department of Labor, they may decide to require more frequent reports from subrecipients to ensure timely management oversight.

The Goal of any budget should be to provide a clear understanding of the activities to be undertaken and completed to accomplish the agency's objective. Budgets are a forecast of future events showing anticipated revenues, expenses, and the financial position of the agency. Budgeting is an art not an exact science and therefore reflects "what could be" not necessarily "what is".

In reviewing the Department's budget systems, representatives of KOG Associates, Inc. sought to collect the following information:

Roles and Responsibilities:

- Identify the roles of personnel in the budgeting process.
- Who determines how much is set aside for agency management and how much is distributed through subcontract
- Who maintains the budget, how often is it is adjusted and by whom
- How are costs categorized
- Obtain a flowchart from the beginning of the process to its completion

Linkages:

- Determine the linkages to program units in the budget process
- Determine the process used for management review before finalization
- Determine the types of reports issued to various managers, who issues them and how often
- What the reports look like

Subcontract Funding:

- Who develops the budget for subcontract funds and how is it done
- How are special projects funded and who determines the amount
- Track assignment of contract funding and its relationship to actual expenditures
- How the budget is used in program evaluation
- How the budget is used in early identification of potential problems

The following are observations and recommendations made as a result of that review:

1. Budget is not used to promote study, research and a focus on the future:

Management does not appear to use the budget process to predict future program opportunities. As a result, the various branches/sections/units of the Community and Senior Services Department (CSSD) are always in a reactive mode when future opportunities present themselves. For example, the Workforce Investment Act (WIA) allows the Governor of each State to set aside 15 percent of its total allocation to fund targeted populations or meet specific employment needs. There does not appear to be a reflection in the budgeting process that projects the receipt of these funds. The budget process should encourage the planning for funds in addition to standard allocations. Managers should submit plans for the receipt of anticipated revenue as well as known allocations. In so doing, the CSSD will be able to plan for additional staffing needs or project the movement of existing staff based on projected funding.

2. The budget does not appear to provide a basis for evaluating performance:

Management does not use information in the budget to evaluate departmental performance in comparison to norms or objectives. While contractor level expectations may exist, there is no evidence that Department goals have been adopted and reports provided to the Director of the Department that compares the outcomes against the established goals.

Departmental management should be receiving on a regular basis a report of contractor and agency performance and expenditures with a comparison to planned performance and expenditures.

Reassignment of resources to address program performance preventing the loss of existing funding should be identified early to improve the efficiency of service delivery and oversight.

3. The budget does not appear to be a source of motivation:

If the budget was a source for evaluating actual performance, it could significantly affect the perspective of managers who are evaluated. Involving managers at the section and unit level in the development and management of the budget will instill a sense of "ownership" among staff and motivate them to perform in meeting agreed upon goals. A properly constructed budget that involved meaningful input from staff provides a clear map of the Department's direction and gives purpose to the activities staff are asked to perform.

4. Budgeting does not appear to be a means for coordinating grant activities:

Separate budgets for the Employment and Training and Administrative Services Branches are maintained for WIA with little or no communication between the sections responsible for their maintenance. A budget for Department administration and support services (indirect costs) reflects projected expenditures as an annual estimate while a detailed monthly estimate is required for agencies that contract for the delivery of client services. Without a complete picture of available funds, year-end unexpended funds are not identified in time for planning activities. If carry-over funds are estimated early in the budget development process, service providers could be provided initial planning allocations reducing the impact of delayed annual allocations caused by State budget conflicts.

5. Budgeting is not a means of communicating plans and instructions:

Managers do not appear to communicate operational plans directly to employees. Budgets should communicate management's specific plans for actions to be taken by responsible employees during the budget period. Anticipated expense allocated to a specific activity is one such item of communication that can assist employees to focus their efforts in a specific direction. By understanding the goals of an agency as expressed through the creation and maintenance of a carefully prepared budget, employees become a part of the service delivery not simply a body performing a rote task.

For example, the current development activities related to the design and implementation of a single accounting system for all grants received by CSSD shows significant promise. Once implemented, the program will allow the capture of both grant income and expenditures in a timely manner as well as provide management with information at the level (department, grant or contractor) necessary to make operational decisions and ensure full expenditure of funds for the benefit of the citizens of Los Angeles County. Information is not currently provided to management and the Department Director in this format and impacts the ability of managers that perform activities that benefit more than one fund source to make informed decisions when allocating costs. The manager of this development phase is not aware of his continued funding for the development and improvement of this project because he has no direct input to budget development and budget information is not shared that allows him to manage the resources assigned to him. The goals of the agency related to automation suffer because automation staff are unaware if they will be funded from year to year and therefore their relative importance to the continuous improvement function of the Department is not clear. Budget information must be shared with the Sections and Units supporting the goals of CSSD. Managers should be held accountable for compliance with the budget developed and corrective action plans developed where a significant variance exists.

6. Annual Budget does not reflect program objectives

The objectives of the various budgeted programs are measured by a given timeframe (July 1 through June 30). The budget while reflecting this same timeframe does not estimate expenses at measurable intervals. For the budget to be used as a tool for evaluation, it should be developed in such a manner that expected performance is displayed as cumulative monthly or quarterly amounts. This practice would allow a comparison of planned expenses to actual expenses over a scheduled period. Where differences exist, revisions to the budget could be contemplated or corrective actions related to program operations implemented. Management must be involved in this process as the recommended actions may require the redistribution of resources among the budget line items or service providers.

In summary, if used properly a budget can:

- **Forecast Future Events**

A budget should be an expenditure plan created before anticipated transactions occur.

Budgets should be a forecast of future events. Budgets should show anticipated revenues, expenses, and the financial position of the agency assuming that the budget estimates are met.

- **Show Results if Plans are Put into Effect**

Budgets are sometimes called a financial plan and its purpose is to detail planned activities and to allocate funds to those activities. The budget is a forecast of future financial transactions.

Budgets allow management to predict the results of program options providing a basis for fiscal decision making in the future (e.g. when to hire additional staff, when to purchase additional equipment, the impact of wage increases, the amount of a bid related to specific program operations).

- **Disclose Areas that Require Attention**

The purpose of the budget is to ensure the organization's success by giving a framework for management to look ahead and plan carefully in terms of both long-term and short-term goals and events that need to be financed.

Besides facilitating the ability to plan, budgets also provide a platform for evaluating performance. Agency plans are carried out by people, control is thus exercised not only over operations, revenues, and costs, but also over people responsible for various business functions. Budgets provide a yardstick against which a manager's actual performance may be compared. Analysts who review budgets and compare them to actual program performance can be provided significant information regarding modifications to program operations.

- **Provides a basis for performance evaluation**

Financial control is achieved by comparing the budget to actual expenditures during the term of the contract and reducing or increasing expenditures to remain within budget. It is the mechanism that ensures that the organization's financial managers meet their responsibility to have the organization live within their budget. Organizations that persistently fail to live within their budget will eventually experience severe financial difficulty.

Budgets can serve to measure an agency's success during a program year and should be considered during future funding cycles. Failure to meet budgeted expenditures may suggest serious issues with the systems of an agency or the ability of an agency's management to address the needs of the community or specific segment of the population they are funded to serve.

- The budget should reflect the best estimate of expenditures over a specific period of time. It should not simply be the total anticipated need divided into twelve equal payments.
- The budget should be based on a history of actual expenditures by line item in past years considering new initiatives that must be financed and considering other anticipated operational and funding changes such as reduced or increased funding, new policies and procedures, WIB priorities, staff changes, etc.

Other Issues Identified

1. Departmental Indirect Costs are not constructed in an allowable manner:

Related to the budget process is the allocation of indirect costs of the Department and the County. This review found that the cost allocation plan used by the Department to distribute its administrative and support services does not meet the allowable criteria set forth in OMB Circular A-87 delineating the requirements for charging indirect costs to Federal grant programs.

Currently, the indirect cost plan of the Department uses a two-step process. The first step is the allocation of costs based on direct salaries of each fund source. The second step uses fund availability of each fund source. The use of funding is not an allowable basis for the distribution of costs to grant programs. It can be used as a planning estimate but must be adjusted to actual for the basis of charging costs back to the programs.

OMB A-87 states:

"2. Simplified method.

"a. Where a grantee agency's major functions benefit from its indirect costs to approximately the same degree, the allocation of indirect costs may be accomplished by (1) classifying the grantee agency's total costs for the base period as either direct or indirect, and (2) dividing the total allowable indirect costs (net of applicable credits) by an equitable distribution

base. The result of this process is an indirect cost rate, which is used to distribute indirect costs to individual Federal awards. The rate should be expressed as the percentage which the total amount of allowable indirect costs bears to the base selected. *This method should also be used where a governmental unit's department or agency has only one major function encompassing a number of individual projects or activities, and may be used where the level of Federal awards to that department or agency is relatively small.*"

It is quite evident in reviewing the funding of the CSSD that the agency has more than one major function and its Federal funding is far from small.

The OMB Circular is clear in that any base used to distribute indirect costs must be actual expenditures and not funding amounts:

"4. "Base" means the *accumulated direct costs* (normally either total direct salaries and wages or total direct costs exclusive of any extraordinary or distorting expenditures) used to distribute indirect costs to individual Federal awards. The direct cost base selected should result in each award bearing a fair share of the indirect costs in reasonable relation to the benefits received from the costs."

An example of why the current method using funding amounts is not allowable is its application to the Workforce Investment Act program. The current allocation allocates administrative and support costs to that grant based on a two-year allocation of funds. The Department's own records show that nearly 25% of that year's allocation was not spent and carried over to the subsequent year. That, in essence, resulted in the allocation of one year of administrative and support costs being allocated to the WIA program based on funding amounts which were not expended.

The end result of using this method is significant overcharges and undercharges to various grants. According to staff, this inappropriate and unallowable methodology has been in use for many years resulting in an unfair distribution of administrative costs to various grant programs during that period.

To determine the allowable charges to each fund source administered by the Department the reviewer allocated costs for the month of February 2003 using the Department's records and applied two different allowable methodologies: Direct Expenditures and the sum of Direct Salaries and Direct Expenditures. Either method can be used. The Department needs to determine which method is the most advantageous and fair to all fund sources.

Attached is a spreadsheet showing the application of both methods. Also shown are what had originally been charged and the amount of the over and under charges that resulted when the allowable methodologies were applied. Significant over and undercharges are highlighted in red.

Direct salaries as a stand-alone method, while allowable, cannot be used by the Department because there are certain fund sources who do not charge for salaries (the program is staffed by volunteers). An allocation using this method would result in those programs not bearing their fair share of indirect costs.

The spreadsheet should be refined even more using information that was not readily available to the reviewer. The Department has two programmatic branches and one administrative branch. The costs associated with the administrative branch and the Director's office should be pooled along with the countywide cost allocation amount to be distributed to the two programmatic branches (Employment and Training and Aging and Adult Services). A second attachment, titled Los Angeles County Cost Allocation Plan, shows the results of the technical assistance visit where information not available during the June review was used and the need to revise fiscal reports was discussed.

2. The Department's administrative costs are not distributed in accordance with an allowable methodology.

The two programmatic branches have administrative staff headed by a Director and additional support staff. Those costs and the Departmental administrative costs should be grouped and distributed to each of the programmatic functions of the branch for a fair distribution of all administrative costs of the Department. In reviewing the Department's charges for the month of February, it was noted that some programs received no charges from the management of the programmatic branches. Grouping those costs and distributing to all affected fund sources based on direct expenditures would more fairly distribute program management costs.

In support of this recommendation OMB Circular A-87 states:

"a. A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received.

"3. Multiple allocation base method.

a. Where a grantee agency's indirect costs benefit its major functions in varying degrees, such costs shall be accumulated into separate cost groupings. Each grouping shall then be allocated individually to benefitted functions by means of a base which best measures the relative benefits."

Currently, it is obvious that costs in the indirect cost proposal are charged where there is funding available which is in conflict with OMB Circular A-87:

"c. Any cost allocable to a particular Federal award or cost objective under the principles provided for in this Circular may not be charged to other Federal awards to overcome fund deficiencies, to avoid restrictions imposed by law or terms of the Federal awards, or for other reasons. However, this prohibition would not preclude governmental units from shifting costs that are allowable under two or more awards in accordance with existing program agreements."

It is recommended that the cost allocation plan be reviewed and revised using an allowable methodology to more fairly distribute the administrative supportive services of the Department. It is also recommended that the Department reconstruct its plan back to the beginning of program year 2002-03 to properly allocate costs and reduce the deficit and surpluses in some of its programs.

3. The organization of the One-Stop System may cause the CSSD to misclassify administrative and program costs reported to the State of California.

The Workforce Investment Act regulations (20 CFR 667.220(a)) specify the level within the Workforce Investment Act program subject to the administrative cost limitation. Administrative costs are accumulated and reported only by State and local boards, direct recipients (i.e. the State or a Title ID grantee), the local grant recipient or subrecipient (i.e. LWIA), the fiscal agent for the local area or the One-Stop Operator. If the local area makes an award to a vendor for an administrative function such as developing a management information system, then the vendor costs are classified as administrative. With the exception of the aforementioned type of administrative contract, all awards to vendors and subrecipients are considered program costs and would be reported in the program cost category, even if associated administrative costs are included in the total costs.

The CSSD has established 18 One-Stop Operators within its One-Stop Delivery System and classifies three (3) percent of their allocation as administration. In addition CSSD limits its own operation to seven (7) percent of the available administration. Because of the self-imposed limit on administrative funds, CSSD and its service providers may be misclassifying administrative costs as program costs to stay within the cost limitations of the Workforce Investment Act.

The Workforce Investment Act Regulations at Subpart D address the role and selection of One-Stop operators. One-Stop operators are responsible for administering the One-Stop centers and their role may range from simply coordinating service providers in the center to being the primary provider of services at the center. The role is determined by the chief elected official. In areas where there is more than one comprehensive One-Stop center, there may be separate operators for each center or one operator for multiple centers.

We recommend that CSSD reorganize its One-Stop System so that a single One-Stop Operator is designated as the coordinating body with subgrants provided to agencies to deliver services through local service centers. In so doing all costs associated with the management of the service centers and the delivery of service would be classified as program costs. Those costs of the coordinator would be classified as administration or program as appropriate.

It is further possible to designate existing CSSD staff as the One-Stop Operator, thereby reducing further any drain on administrative funds.

To implement this operational change CSSD should secure the support of its Workforce Investment Board and Chief Elected Officials for the designation of a single entity as the One-Stop Operator. Once support is received a revision to the Local Workforce Investment Area Plan describing the One-Stop System as being made up of a single operator and 18 service centers must be submitted to the State of California. Development of the "new" system would not require a break in service or require a modification to the current certification system used by the Work Force Investment Board.

In addition, the One-Stop Management should develop procedures for the following requirements:

- Office Management – The provider of One-Stop management will be given a budget for the management of the One-Stop Centers. This budget will cover the logistics of running the One-Stop Centers. It will be the responsibility of the One-Stop Management provider to competitively procure items necessary for running the offices.

- Personnel and Contract Management - The provider of One-Stop Management will be responsible for contract coordination and resource management including staff housed within the One-Stop Centers. The provider will assess the operation of the One-Stop Centers and have the authority to realign resources of other program providers within the scope of the WIB's Memorandum of Understanding.
- Service Deliver Coordination – The provider of One-Stop Management will be responsible for the coordination of services delivered through various access points through out the County. These access points, which may not include the full array of services available, will provide information and access to services to applicants and participants of the One-Stop Center System.
- Reporting - The provider of One-Stop Management will report primarily to the WIB's One-Stop Governing Committee and as such, be responsible for assisting the WIB attain its stated goals.

If it is the WIB's intent that the provider of One Stop Management services act as the coordinator of ALL services and contracts associated with the One-Stop Centers, the provider should be assessed and evaluated by the overall goals of the WIB.

Follow-Up Review of Employment and Training Fiscal Accounting and Budget Accounting Unit (KOG Associated, March 2004)

CSS Response to the March 2004 Follow-up Audit

COMMUNITY AND SENIOR SERVICES RESPONSE TO RECOMMENDATIONS MADE BY KOG ASSOCIATES, INC.

DRAFT
CSS Response

March 14, 2004

KOG Results of February 1 and 2, 2004 Interviews and Follow-Up Review Prior of Recommendations

This response is to provide you with outcomes of interviews performed by KOG Associates, Inc. per your request on February 1 and 2, 2004, at Community and Senior Services (CSS). This scheduled time was spent evaluating actions taken in response to two recommendations of on-site reviews. The first review was with Employment and Training Fiscal Accounting in January 8 and 9, 2003; the second on-site review was conducted with the Budget Accounting Unit on May 22, 2003. Additionally, on February 1 and 2, 2004 we conducted interviews with Program Managers from the Employment and Training and Aging Branches of CSS in regards to monitoring, audit practices, general program policies and procedures now in place and discuss staff concerns.

The first section of this report pertains to the actions taken in response to the two interview dates. The later component is in response to interviews with Program Managers.

EVALUATION OF (JANUARY 2003/MAY 2003) RECOMMENDATIONS

1. Accounting Procedures

Recommendation: Establish a single accounting system, which provides data allowing monitors and program administrators to make informed decisions.

Outcome/Observation: CSS is in the final testing process in the development of a Grants Financial Accounting System (GFAS) The purpose of the system is to have an integrated grants financial management system in place that can be easily accessed and provide information that would allow management to make decisions based on available financial data. The pilot test began January 13, 2004 and it is estimated that the system will be operational by July 1, 2004. The GFAS will need to address the needs of AAA, CSBG or Refugee programs in that the obligation of funds to contractors will not accommodate the State reporting requirements.

CSS Response: Testing is on going within the Employment and Training and Aging Program Accounting Unit. The IT staff has been diligent in addressing any difficulties that may occur in the system. All activities are currently on schedule. The GFAS has become an integral system that will bring together other necessary databases for CSS. KOG Associates has been contracted to develop the GFAS Training Guide(s). KOG will meet with staff on March 16, 2004 to begin this process.

The needs of AAA, CSBG and Refugee State reporting requirements will be address within the GFAS upon completion of entering all contractors and their obligations to meet all State, Federal and County Statutes.

Time-Line: GFAS Testing on going the projected start up date for GFAS is July 1, 2004. E & T will be first to initiate the system.

KOG/CSS Draft Training Guides/Modules will be completed by the end of April.

Recommendation: Develop a flowchart of a process for receipt, review, approval and payment of invoices.

Outcome/Observation: A flowchart has been developed for the Workforce Investment Act (WIA) and a copy was provided to the reviewer. The chart currently reflects the employment and training processes only. Staff interviewed estimated that a chart reflecting this process for other programs administered by CSS would be completed by June 30, 2004. AAA, CSBG and Refugee programs have a flow chart reflecting the process for receipt, review, approval and payment of invoices. Additionally, written procedures exist for the AAA, CSBG and Refugee programs but are old, they will require minimal revision to bring them into compliance with new grant requirements.

CSS Response: The flowchart for E & T is completed. Revisions to existing procedures for AAA, CSBG and Refugee are on going. This task is addressed through the GFAS system. Flowcharts for all programs will be revised as needed.

Time-Line: July 1, 2004 and then on going as needed

Recommendation: Develop obligation, expenditure and cash control registers

Outcome/Observation: The GFAS under development is designed to include information related to contract obligation, expenditure and payment (cash). This recommendation will be reviewed a decision made related to the detail of supporting registers once screens are tested. AAA, CSBG, and Refugee programs have obligation, expenditure and cash control registers however; the written procedures that exist are out-of-date and revisions need to be developed. Cash control registers will be developed through this system.

CSS Response: No response required

Time-Line: July 1, 2004

Recommendation: Establish a tracking system and procedure for treatment of carryover funds.

Outcome/Observation: The GFAS will have a provision to track unspent funds from prior year contracts and report them as carry-in to the current year. If carry-in is not permitted accounting staff will be able to de-obligate funding and make them available for obligation in future contracts. The Program Accounting Unit staff has reconciled the past three WIA fiscal years to identify a carry-in balance. Written procedures to maintain the WIA carry-over process will be developed not later than June 30, 2004. AAA, CSBG and Refugee programs do not have a formal process for carry-over. Funds not spent in a single program year roll-forward to new program year, contracts are extended and expenses tracked against available funds. Written procedures for this process will need to be developed.

CSS Response: E and T have written procedures for carry-over. AAA, CSBG and Refugee each have different criteria to deal with end of the year unspent funds. These procedures need to be written. This will be addressed when desk procedures are written.

Note: Program Accounting and Budget Accounting have begun the process of writing desk procedures. However, this process needs to be implemented Departmentally.

Time-Line: E & T carry over procedures completed
AAA, CSBG & Refugee July 1, 2004

Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004

Recommendations: Develop a procedure for reviewing costs to ensure proper classification.

Outcome/Observation: Employment and Training WIA Fiscal Accounting and Budget Accounting staff continue to calculate an amount equal to 10 percent of total expenditures as a reportable item on Quarterly and Annual WIA financial reports with no related audit trail. Cost allocation is not performed. There is no supporting documentation for the reported expenditures. Failure to properly allocate costs to their appropriate cost categories may result in disallowed costs. Budget/Program Accounting staff has sufficient technical knowledge to assign the proper category to costs incurred by CSS but procedures have not yet been developed to describe the process for such determinations.

Budget and Program Accounting have committed to developing these procedures, which will describe the process for cost in accordance with the appropriate statute.

AAA, CSBG and Refugee Program Accounting and Budget Accounting report expenditures to State agencies based on supportable documentation that reflects actual costs. However, written procedures need to be established.

CSS Response: A new cost allocation plan has been developed and implemented for FY 2003-2004. Written procedures have not yet been developed to describe the process. This recommendation will be addressed in the development of desk procedures and full implementation of GFAS.

Time-Line: July 1, 2004

2. Cash Draw-downs Including Forecasting and Cash Management Procedures

Recommendation: Establish procedures and policies for disbursement of cash that assures proper internal controls.

Outcome/Observation: These processes have not been developed in writing for WIA programs. Staff has been notified that they will need to develop "Desk Procedures". It is planned that staff will develop these procedures, reviewed by the Unit Manager and incorporated in the Branch Policies and Procedure Manual.

AAA, CSGB and Refugee Program Accounting have written procedures, however, these policies need to be reviewed and brought up-to-date to reflect current fund source requirements.

CSS Response: This will be addressed in the establishment of desk procedures. AAA, CSBG and Refugee existing policies will be brought current.

Note: Program Accounting and Budget Accounting have begun the process of writing desk procedures. However, this process needs to be implemented Departmentally.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

Recommendation: Establish internal controls for processing of all refunds.

Outcome/Observation: Desk procedures are being developed. Staff knows the procedures, however, written documentation has not yet been developed.

CSS Response: Written procedures will be established with the development of desk procedures.

Time-Line: July 1, 2004

Recommendation: Develop a reporting handbook for required reports.

Outcome/Observation: EDD/WIA State reporting instruction serve as internal procedures. Written Instructions for AAA, CSBG and Refugee programs do not exist and need to be developed.

CSS Response: A reporting handbook for AAA, CSBG and Refugee programs will be established and published along with desk procedures

Time-Line: July 1, 2004

Recommendation: Establish a process for review and approval of vendor and subcontractor invoices, including a checklist.

Outcome/Observation: This recommendation is incorporated into the WIA Program Accounting flowchart. Processes for AAA, CSBG and Refugee programs do not have a complete listing of contractors, institutional knowledge is the basis for completing reviews. The Program Manager depends on each individual contacts. Written procedures need to be developed.

CSS Response: All contractors will be listed in the GFAS. Additionally, this recommendation is addressed in the Auditor-Controllers mandatory participation in the Countywide Contractors Monitoring System (CCMS), which is updated monthly for contractors, allocations and payments made through CAPS. These processes are on going until further notices or change in systems venues. In addition, the flowchart developed for WIA is being developed for Aging and Refugee programs. This issue will also be addressed in the development of desk procedures for all staff.

Time-Line: Completion of Aging/Refugee flowchart is July 1, 2004.

Recommendation: Establish a process for determining the expenditure of funds on a first-in-first-out (FIFO) basis.

Outcome/Observation: The carry over process will describe the mandated use of FIFO.

CSS Response: NO action necessary

Recommendation: Establish a process for periodic reconciliation of expenditures claims by service providers to the amount paid as well as a reconciliation of total agency costs with the Department's accounting system to CAPS.

Outcome/Observation: The reconciliation process for all programs is the same and does occur monthly. The written process will be included in "Desk Procedures".

CSS Response: The process for writing "Desk Procedures" is on going.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

Recommendation: Develop a process for identifying contractors who will no longer be funded and procedures for closing out contracts.

Outcome/Observation: Each individual fund source has an undocumented procedure for agencies that are found to be out of compliance and terminated for cause. Although a process exists it needs to be documented. No procedure has been developed that addresses all Department level reporting. However, a process exists within the AAA, CSBG and Refugee programs that can be exported to other programs. This procedure will be shared with all fund managers to determine usefulness. Pressing issues preclude the scheduling of a meeting at this time. As staff resources become available a meeting will be scheduled. In the interim a copy of the AAA, CSBG and Refugee program procedures will be provided to fund source leads with a request to review for applicability and schedule a meeting when time allows. AAA, CSBG and Refugee programs will review process for closeout to ensure compliance with current statutes.

The Quality Assurance Unit will coordinate the development of a common procedure with input from all Departmental fund sources

CSS Response: The QAFA Monitoring Database that ties into GFAS will deal with this recommendation. It is intended be part of the second phase for GFAS.

Time Line: July 1, 2004 and on going.

3. OVERSIGHT

Recommendation: Establish a consistent and timely oversight process of all program activities to comply with State and regulatory requirements and ensure that programs are being operated in compliance with laws, regulations and policies.

Outcome/Observation: A centralized listing of contractors has been developed. No comprehensive oversight schedule has been developed. A monitoring tool has been developed and approved by Auditor-Controller that identifies common review areas and areas specific to each fund source. This tool is being tested in the field. The Auditor-Controller will provide training to staff during the month of March. Auditing techniques and monitoring training will focus on guidelines and Q&A sessions.

CSS Response: In addition to the contractors centralized listing of contractors incorporated into the GFAS, a Monitoring Data Tracking System has been developed and is currently being tested. This system will provide staff with a “Red Flag” system should an agency be on hold for noncompliance. Improvements and data entry is ongoing.

Time Line: The Monitoring Data Tracking is completed. It is on going and continuous as needed.

Recommendation: Develop procedures for writing monitoring reports and resolutions of findings.

Outcome/Observation: Written procedures have been developed and are under review for usefulness across fund sources. The process is not centralized and needs to involve other fund source managers to agree on a common process.

CSS Response: Procedures are established. The QAFA Unit will be maintaining the source documents. Additionally, an analysis and review for restructuring CSS to provide a Centralized Contracting Unit is being done.

Time Line: Procedures are completed
Centralized Contracting Review for CSS, July 1, 2004

Recommendation: Develop a tracking system to identify contractor audit requirements and resolution.

Outcome/Observation: An untested system exists in the IT Unit. It allows the input of agencies, monitor name, audit requirement, audit results. The tracking system is tied into the GFAS that identifies findings to contract files allowing tracking of open and resolved findings. Currently, within the system only agencies receiving over \$500,000 are required to turn in Single Audit Reports, Procedures that address contractors who receive less than \$500,000 need to be established. The system is in testing mode and can be ready not later than February 2004.

CSS Response: The system testing is in progress as stated above. However, the QAFA Unit will need until June 2004 to have all procedures ready and applied to the system for official use.

Time Line: July 1, 2004

Recommendation: Establish a system for debt collection that assures the proper disposition (reprogramming of refund to State) of disallowed costs.

Outcome/Observation: No process has been developed.

CSS Response: The QAFA Unit is working with Budget, Program Accounting and Program Managers to establish policies. Some procedures have been established but are not yet in writing.

Time Line: July 1, 2004

4. Policies

It is recommended that the following policies be developed:

- Procedure for reporting and accounting for program income

Outcome/Observation: Policies and accompanying procedures have not been developed.

CSS Response: In progress. This will be addressed in the establishment of written desk procedures.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

- Clear definitions for the classification of costs and how classification can be determined

Outcome/Observation: Policies and accompanying procedures have not been developed.

CSS Response: Policies for classification of costs with the assistance of KOG have been established. These policies are not yet written. This will be completed through the writing and publishing of desk procedures.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

Acceptable source documentation

Outcome/Observation: Policies and accompanying procedures have not been developed.

CSS Response: Source documents are addressed in the GFAS system and will also be further established when written desk procedures have been established and published.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

Modification of contracts that are not in compliance with budgets

Outcome/Observation: Policies and accompanying procedures have not been developed.

CSS Response: The GFAS and QAFA Monitoring Tracking systems will address this issue. Policies have been established. They are in the process of being written by the QAFA Unit and Program Monitoring Unit.

Time Line: July 1, 2004

Coordination between fiscal and program review staff

Outcome/Observation: Policies and accompanying procedures have not been developed

CSS Response: The recommendation is addressed in the Flow Chart developed for Program Accounting. Additionally, the GFAS will address this issue. Written procedures will be accomplished through written desk procedures.

Time-Line: Desk Procedures: Budget Accounting: July 1, 2004
Desk Procedures: Program Accounting, July 1, 2004
Departmental: To-be-established

The process of communication will be on going and continuous.

5. Provide Staff Training

It is recommended that the following training be provided:

Proper classification of costs

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: E & T staff has had training through the EDD Workforce Investment Division (WID). This training is on going as regulations and programs change. Additionally, staff will procure outside consultants to provide training as needed for E & T, CSBG, AAA and Refugee through a competitive bid.

Time Line: On going.

Internal accounting processes and procedures

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: E & T staff has had training through the EDD Workforce Investment Division (WID). This training is on going as regulations and programs change. Additionally, staff will procure outside consultants to provide training as needed for E & T, CSBG, AAA and Refugee through a competitive bid.

Time Line: On going

Fiscal Policies

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: E & T staff has had training through the EDD Workforce Investment Division (WID). This training is on going as regulations and programs change. Additionally, staff will procure outside consultants to provide training as needed for E & T, CSBG, AAA and Refugee through a competitive bid.

Time Line: On Going

Oversight

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: E & T staff has had training through the EDD Workforce Investment Division (WID). This training is on going as regulations and programs change. Additionally, staff will procure outside consultants to provide training as needed for E & T, CSBG, AAA and Refugee through a competitive bid.

Time Line: On Going

Audit determination and resolution of debts

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: Staff will receive training for Audit determination and resolution of debts from the Auditor-Controllers office.

Time Line: Mid-April (waiting for date conformation from Auditor-Controllers Office)

Fraud and abuse

Outcome/Observation: A training session has not been scheduled or developed.

CSS Response: Staff has received Fraud and Abuse training provided by the Auditor-Controller. This training was arranged and scheduled by Stacey Mason, CSS Training Coordinator. This training will be made available again when needed, also Ethics Training will presented by KOG Consultants as part of their new statement of work.

Time Line: On-going

NOTE: Employment and Training, Program Accounting and Budget staff receives on-going training provided by State EDD/WID.

Stacey Mason, CSS Training Coordinator, coordinates staff participation of training workshops provided by the by the Los Angeles County Training Academy or other approved County vendors. Stacey Mason will continue to coordinate staff participation as requested. .

Throughout the year Linda Manion and Earl Smith of KOG have been providing technical assistance addressed in the recommendations section. Outside consultant services may need to be procured to provide specialized training not offered through State, Federal or County agencies.

6. Additional Recommendations

Recommendation: Create cross-functional work teams that allow CSS to meet with others sharing common processes and discuss the impact processes have on the performance of tasks. These cross-functional work teams would review and make recommendations for process modifications resulting in improved system efficiency and effectiveness.

Outcome/Observation: Cross-functional work teams have not been developed. During the follow-up review, it became evident that staff is developing a feeling of isolation. Pressure by the Board of Supervisors has intensified a feeling of “us and them” and Units are becoming more territorial. The development of cross-functional work teams will provide information to staff about other Units and create an understanding of how their function fits into the mission/goals of the Department.

CSS Response: Throughout the creation of the GFAS and QAFA systems some cross-functional units have been established. Particularly between the IT Unit, Employment and Training Program, Program Accounting, Budget Accounting staff. These tasks could not be successful without cooperation between these Branches and Units. However, more work and further teams do need to be established Departmentally. Budget accounting has begun to work closely with Program Managers as a team effort to work together in planning and implementing budgets and to ensure administrative expenditures are properly reported.

Time Line: On going.

Recommendation: Establish a regular communication process with other Los Angeles Area Workforce Investment Boards regarding shared contractors and provide for the exchange of information gathered regarding from review of other fund sources with common providers.

Outcome/Observation: State policy on monitoring requires Workforce Investment Areas that share contractors to share findings and corrective action requirements (CAR).

CSS Response: The Monitoring Tracking System has the ability to highlight CAR in all programs departmentally. This system will also have the ability to incorporate all finds and CAR for each individual agency regardless of multiple programs (contracts).

Recommendation: Create and staff a Quality Assurance, Fiscal Accountability and Contracts Investigating Unit.

Outcome/Observation: A unit has been created and staff assigned. Workload suggests the need for additional staff. Job descriptions have been developed but have not been approved by the CAO and desk procedures are not yet developed. During this review it appeared that information regarding the purpose of this Unit is not well disseminated within the Department and a frustration is developing as Quality Assurance, Fiscal Accountability and Contracts Investigating Unit Staff are asked to take on additional responsibilities.

CSS Response: The CSS Quality Assurance Fiscal Accountability Unit has been established. As the Units policies and desk procedures are established and written, better understanding will be established and identification of additional staff will need to be made.

Time Line: July 1, 2004 for written policy and procedure. Time line for identification of staff has not been established.

Recommendations Budget Accounting Review

1. Recommendation: Budget is not used to promote study, research and a focus on the future. Program managers are provided with expenditure information that can be used in the preparation of future program budgets. This information is contained in the monthly Cost Statements. KOG recommends that a training session be developed that provides information to Program Managers in the use of this information while developing future budgets.

CSS Response: Budget accounting staff is currently working closely with Program Managers in an effort to work together in planning and implementing budgets and to ensure administrative expenditures are properly reported. They have been meeting with each program individually to better coordinate them to establish better uses of the monthly cost statements. Additionally, the monthly expenditures upon completion of phase II of GFAS will go directly into the single accounting system.

Time Line: On going. A final completion date has not been established.

2. Recommendation: The budget does not appear to provide a basis for evaluating performance. Program managers do not appear to be using monthly expenditure information provided by the Budget Unit to evaluate program operations. Comparing planned expenditures with actual expenditures will provide advance notification of potential funding shortfalls or under expenditure. Program managers can make adjustments in staffing levels or line item estimates early in a program year avoiding revisions in staff time reporting that may result in questioned or disallowed costs.

CSS Response: This recommendation will be addressed through the GFAS. The system will be able to provide more up-to-date and accurate reports for management to be used as guides for these kinds of issues. Additional reports will be designed as needed.

Time Line: July 12, 2004 and on going as needed.

3. Recommendation: The budget does not appear to be a source of motivation. Program managers do not appear to be using budget information to assist in the direction of redirection of staff.

CSS Response: Budget staff in regards to Cost Allocation is meeting with Program Managers to reach consensus on the direct and indirect charges to each program. Hiring and transferring of staff is done through CSS Human Resources (HR) in conjunction with Budget Accounting. Additionally, all staff must be placed on an existing item with in the item control list.

Time Line: N/A

4. Recommendation: Budgeting does not appear to be a means for coordinating grant activities. Program Managers in directing staff do not use budget information when addressing emergency situations. A manager that is experiencing a need for additional support when appropriate should look to other managers experiencing budget shortfalls for assistance.

CSS Response: Each Program Manager uses their assigned staff to best meet their own needs. However, moving staff between their assigned programs becomes an HR/Budget issue to work within the County Regulations. Staff is sometimes loaned to other Program Managers if staff is available. In general the Program Managers have better control over funding in the area of direct charges. The current two-tier indirect cost allocation plan currently in use sometimes uses the predictability costs. We will work with the Program Managers and accounting staff to change the cost allocation plan. This will not only bring us into compliance with the OMB but also provides better control over program costs.

Time Line: N/A

5. Recommendation: Budgeting is not a means of communicating plans and instructions. Program Managers do not appear to be using budget information as a means of reporting the completion of Unit objectives. A regularly scheduled meeting among the Assistant Directors and Program Managers should be scheduled where performance information and meeting Department objectives is exchanged.

CSS Response: Assistant Directors (AD's) meet monthly and more often if there is a need. Program Managers have monthly meetings and discuss all issues that are of importance and have deadlines. In addition the creation of an Electronic Executive Summary Log is on going. It lists issues, which are exchanged by the AD's and is maintained by the Administrative Services Managers for the AD 's to keep current on issues that require immediate attention.

Time Line: On-going.

6. Other Issues Identified

Departmental Indirect Costs are not constructed in an allowable manner.

A cost allocation plan, approved by the County Auditor-Controller, has been implemented with a basis of 50% Direct Salaries and 50% Services and Supplies. This methodology complies with requirements of the Office of Management and Budget Circulars and fairly distributes indirect costs. In the future, alternative methods may be presented to management if funding levels change.

CSS Response: NO RESPONSE REQUIRED

The Department's WIA administrative costs are not distributed in accordance with an allowable manner.

Resolution to this recommendation has not been implemented. Reported administrative expenditures for WIA are based on the arbitrary assignment of 10 per cent of total expenditures without consideration of actual expenses or supporting documentation. Office of Management and Budget Circulars require that costs must be charged to the object receiving benefit. In this case, administrative costs may be charged to the Program category creating a potential disallowed cost. KOG maintains the recommendation that costs be classified according to direction provided in the Code of Federal Regulations and reported properly. To determine the potential liability incurred by the County, it is recommended that a review of actual administrative expenses costs is performed and the amount compared to the administrative expenses reported to the State. If there is a difference, adjustments can be made in future reports so the amount reported at the end of the Program year reflects actual expenditures.

CSS Response: Program and Budget Accounting Managers are addressing this recommendation. They will reevaluate the two-tier method prior to end of year (6/30/04). Additionally, the GFAS will assist in keeping administrative expenses in the correct percentile and category. They may seek additional assistance from KOG for identification of what is considered "back-up" documentation.

Time Line: July 1, 2004

The organization of the One-Stop System may cause CSS to misclassify administrative and program costs reported to the State EDD.

CSS continues to identify agencies of the WorkSource Centers as One-Stop Operators. This organizational design requires the allocation of administrative funds to support WorkSource Center operation reducing the available administrative dollars at the County level. If there should be a review of actual administrative expenditures and then compared to report administrative expenditures, it may identify an issue of non-compliance. The additional administrative funds generated at the County level as a result of designating CSS staff as the One-Stop Operator may be sufficient to liquidate

any liability created as a result of accruing administrative expenses in excess of available funds.

CSS Response: This recommendation has been presented to the WIB to establish a CSS staff person to designate as the One-Stop Operator in order to save administrative costs and allow better compliance for LA County WIA programs. It was denied by the WIB. It is believed that the WIB was not presented with enough information and requires a stronger presentation. Josie Marquez, Assistant Director has requested Earl Smith of KOG Associates to provide a presentation to the WIB the next time this issue can be placed on their agenda. He has agreed to do this.

Time Frame: July 1, 2004

ISSUES IDENTIFIED BY INTERVIEWEES FEBRUARY 1, AND 2, 2004

- Need to notify Program Accounting Unit of any cost issues affecting vendor payments discovered during monitoring/auditing.
- Need to standardize monitoring process by reviewing copies of all monitoring instruments, program invoices, contract budget forms, etc. and standardizing activities.
- Need to change invoicing process from fixed fee to cost reimbursement.
- Need to provide training to program managers and monitoring staff to maximize resources and understand fixed fee vs. cost reimbursement approach. This is particularly an issue for Refugee programs.
- Level and quality of monitoring staff is not sufficient to ensure compliance of contractors and efficiency of program. Need to review assigned staff abilities develop training plans and if necessary redirect existing staff that has necessary skill sets.
- A system for identifying the risk associated with doing business with certain contractors does not exist.
- Need to interview staff and develop a resource manual that reflects methods of activity performance. This information would roll up to a Unit and Section Manual and serve as a training guide for new staff.

Staff Interviews:

Cynthia Banks
Kristina Buu
Yolanda De Ramus

Josie Marquez
Maggie Mireles
April Mitchell

Carol Domingo
Crystal Huang
Ken Kessler
Henry Knawls
Yonda Lee

Hortensia Prihoda
Geraldo Rodriguez
Jackie Lynn Sakane
Alan Tang
Ellie Wolfe

This report is submitted as a systems improvement tool and is not intended to establish formal findings. Any questions related to the opinions expressed may be addressed with Earl Smith either by telephone contact at (916) 685-5886 or email at esmith@aol.com.

CSS Response/Results

In regards to the above recommendations some major enhancements to CSS' accounting and program units have been implemented. Under the guidance of our IT Unit the GFAS has been under design for 9 months. It addresses many of the issues in this report. The system since its inception has become a much greater tool than anticipated. Originally, it would replace the out-dated DE system currently used. It would incorporate Budget Accounting's administrative costs so we would be operating less than one single accounting system. This will provide management with more accurate and timely reporting systems. GFAS has now grown in its requirements to encompass other reporting databases which tie into the base-line system. The Monitoring Tracking Database and the Electronic Time-Card Systems are two examples.

Program and Budget Accounting have begun the task of identifying and putting into writing task for desk procedures identified by a desk review. This will be continued on into the Aging and E & T Branches. To accomplish this task is a major undertaking; it would be recommended that we have assistance from an outside contractor with this type of professional background. The difficulty with bringing in an outside contractor would be the lack of funds in our current budget.

A feasibility study for a Grants Management Unit /Centralized Contracting Unit is currently being conducted by staff. The major responsibility of this Unit would be to insure all required procedures and documentation are in order and to monitor the expenditures vs. performance plans.

The outcome(s) of this study are targeted to be completed by May 2004. It may be advisable to have this task part of the KOG Statement of Work within their new contract agreement or to procure an outside consulting firm to expedite this task in a timely manner.

If you require further information please call Ken Kessler at (213) 738-2620.

CB:KK:ew

c.. Earle Smith KOG Associates, Inc.
Ken Kessler
Josie Marquez

2002-2003 Grand Jury Report on CSS AAA and APS Programs: Summary of Recommendations

The Grand Jury considered “Is the County reaching all of the right people at the right time with high quality, effective services that are reasonably priced?” Recommendations included:

- CSS should move from planning to implementation of their Long-Term Care Strategic Plan. An outside agency should monitor this transition and progress.
- The County should ensure its strategies address the full extent of County seniors’ needs.
- CSS/AAA must take the lead to ensure effective coordination of services to deliver senior services via CSS’s strategic collaborative departmental approach.
- Given its recently adopted Long-Term Care Strategic Plan, CSS/AAA is in a period of transition and CSS should develop a funding strategy.
- CSS should restructure itself to support the SPA framework.
- The Board of Supervisors should lobby for an overhaul of the funding categories developed at the State and Federal levels.
- CSS/AAA should continue to build on the Integrated Care Management experience to implement innovations in other program areas.
- Formal communication channels should be developed and implemented for CSS internal mid-management.
- CSS/AAA should develop more sophisticated systems and staff capabilities to manage and monitor program funding.
- CSS/AAA and CSS/APS should continue to develop a more qualitative and quantitative approach to tracking, managing and measuring program and population-based outcomes.
- ICM: CSS/AAA should enhance management oversight for ICM to ensure cohesive implementation, monitoring and program coordination.
- Congregate and Home-Delivered Meals: CSS/AAA should monitor its meals-related budgets more closely to ensure that it is taking advantage of all available monies.
- Congregate and Home-Delivered Meals: Working with the CBOs for meals, CSS/AAA should develop a new model for food services that permits greater flexibility to meet the needs of the seniors in the diverse communities of LA County.
- Congregate and Home-Delivered Meals: CSS/AAA should work with its CBOs to ensure there is adequate oversight of the meal programs by nutritionists but minimize the current amount of duplicated efforts-by the CBOs and by CSS/AAA.
- Senior Community Senior Employment Program (SCSEP): Although CSS/AAA meets or exceeds Federal Government targets, it should advocate for a redesign of the Senior Employment Program to benefit more seniors more cost-effectively.
- SCSEP: CSS should improve its record-keeping and monitoring of Senior Employment Program enrollees.
- APS: CSS should continue to strengthen the linkages between APS and AAA.
- APS: CSS/APS should evaluate the cost-effectiveness of County inter-agency programs with an aim to improving their efficiency.

- APS: The Fiduciary Abuse Specialist Team (FAST) makes good use of volunteers, including attorneys, but more formal documentation of target service levels and expected outcomes should be defined.
- APS: CSS should more closely monitor the outcomes of the Ombudsman and Elder Abuse Programs.
- Supportive Services: CSS/AAA should clearly link Supportive Services' budgeted dollars with service levels.
- Supportive Services: CSS/AAA should design an evaluation tool to assess outcomes of the Family Caregiver Program over time, ensuring reliable data and better tracking.
- Supportive Services: The Health Insurance Counseling and Advocacy Program (HICAP) requires better information to track service levels, number of clients, and per-unit costs to set proper goals and budgets.

2002-2003 Grand Jury Report on CSS AAA and APS Programs and CSS Response

Source: <http://grandjury.co.la.ca.us/gjury02-03/grandjury02-03.pdf>

**2002-2003
LOS ANGELES COUNTY
CIVIL GRAND JURY**



FINAL REPORT

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TABLE OF ACRONYMS AND ABBREVIATIONS

AAA	Area Agency on the Aging in CSS (also referred to as CSS/AAA) ²
AARP	American Association of Retired Persons
AB 764	Disabled Parking Violation Fund
APS	Adult Protective Services in CSS (also referred to as CSS/APS) ²
ADCRC	Alzheimer's Day Care Resource Centers ²
BOS	Board of Supervisors of the County of Los Angeles ¹
CDA	California Department of Aging
CSS	Community and Senior Services ¹
CBO	Community-Based Organizations
CBSP	Community Based Service Provider
CDC	Community Development Commission ¹
DHS	Department of Health Services ¹
DPSS	Department of Public Social Services ¹
ENHANCE	Effective Nutritional Health Assessments and Networks of Care for the Elderly ²
FAST	Fiduciary Abuse Specialist Team ²
FY	Fiscal Year
GENESIS	Geriatric Evaluation Networks Encompassing Services, Information Support ²
HICAP	Health Insurance Counseling and Advocacy Program ²
HMO	Health Maintenance Organization
ICM	Integrated Care Management ²
ICMDP	Integrated Care Management (ICM) Demonstration Project ²
ISD	Internal Services Department ¹
IT	Information Technology
ITS	Information Technology Service ¹
King-Drew	Martin Luther King-Charles Drew Medical Center
LAC-USC	Los Angeles County-University of Southern California
MC	Matching Contributions
MTA	Metropolitan Transportation Agency
MIS	Management Information Systems
NM	Non-Matching Contributions
NORC	Naturally Occurring Retirement Community
OAA	Older Americans Act
OTO	One-time-Only Funds
RFP	Request For Proposal
SCSEP	Senior Community Senior Employment Program ²
SPA	Service Planning Areas
USDA	United State Department of Agriculture
WLCAC	Watts Labor Coalition Action Committee
WISE	Well-Being, Independence, Self-Esteem, and Education Program

¹ Governing boards, organizations, or departments in the County of Los Angeles government.

² Agencies, programs, or services made possible through CSS.

LOS ANGELES COUNTY DEPARTMENT OF COMMUNITY AND SENIOR SERVICES

EXECUTIVE SUMMARY

The 2002-2003 Civil Grand Jury investigated senior programs and services available through:

- The Los Angeles County Department of Community and Senior Services (CSS). The Area Agency on the Aging in CSS (CSS/AAA) and the Adult Protective Services in CSS (CSS/APS) and other related senior services and programs account for approximately 10% of the CSS Department's responsibilities.
- Community-based organizations (CBOs) that are funded by CSS
- Local cities in the County (but excluding the City of Los Angeles, which is funded separately from CSS).

In addition, the Civil Grand Jury considered the needs of the County's senior population as a whole. The County's senior population, age 65 or older, is 926,673 or approximately 10% of the total population.

The general question the Grand Jury considered: Is the County reaching all of the right people at the right time with high quality, effective services that are reasonably priced?

The investigation involved extensive CSS interviews, document reviews, data analysis, a survey of cities regarding their senior programs, site visits to 15 senior centers with interviews with CBOs and city representatives, and input from more than 4,000 seniors in response to written surveys:

- Survey of the General Senior Population – a written survey (in both English and Spanish) mailed to a stratified, random sample of 17,000 County seniors with 15% or 2,601 responding. These seniors reside in the County, but not the City of Los Angeles.
- Survey of Seniors Currently Using Services – a written survey distributed on site to 1,770 current users of senior services offered by the County, CBOs, or the cities.

As a result of these efforts, the Grand Jury found dedicated CBOs, creative senior programs and services in the cities and unincorporated areas, and a desire for continual improvements in meeting the needs of seniors.

Some of the Grand Jury recommendations are consistent with planned improvements that CSS is undertaking. The recommendations cluster into three areas:

Rising Demands and Needs for Senior Services and Programs

- Rising demand for senior services with the need for collaborative approaches to address senior needs: Seniors make up 27% of the County residents, including 10% who are age 65 or older and 17% who are between the ages of 55 and 64¹¹. Within the next 5 to 10 years, the expected growth of seniors is at least 73% in the County. The County is not positioned to address the burgeoning needs of its seniors, particularly in the areas of health care, housing, transportation, and recreational and social programs. Adequately addressing seniors' needs will require the coordination of many County services, but no formal mechanism is in place to ensure that this happens.
- Continue efforts to implement innovative senior programs and services: In the past few years, CSS has begun to design, pilot, and implement innovative programs, such as the Integrated Care Management (ICM) programs, Fiduciary Abuse Specialized Team (FAST), and Effective Nutritional Health Assessments and Networks of Care for the Elderly (ENHANCE). Such innovations require ongoing improvements and such innovative thinking should be applied to future program planning efforts across the breadth of the senior program.
- Throughout the County, naturally occurring retirement communities (NORCs) are emerging in areas with an aging population and limited mobility because of the cost of real estate. In the next decade, these NORCs may become focal points for organizing senior services.
- Innovations in meal programs: CSS must work within strict Federal and State regulations that may prohibit desired innovations. The congregate and home-delivered meal programs require enhanced improvements, coupled with maximum use of funding available. To preserve the dignity of seniors and address their diverse tastes, greater flexibility in menus and venues, cultural preferences, and other innovations would be beneficial.
- Promotion of senior programs and services: Although large numbers of seniors may take advantage of the County's congregate meal, home-delivered meals, and senior center programs, most seniors are unaware of what services are available. Overall, senior survey respondents rate senior services as effective (54%) but are unaware of most senior services or programs. Fifty percent or more respondents were not aware of 9 of the 11 services offered through CSS funding. In turn, senior programs are not aggressively advertised because of an inability to meet potential demand.

¹¹ Excluding the City of Los Angeles.

Improved Accountability: Fiscal and Outcomes-Oriented

- Fiscal efficiency and effectiveness, resulting in streamlined and innovative senior programs and services: Cities and CBOs often supplement the County's CSS/AAA funds to deliver senior programs and services to its residents. CSS must continually ensure that all of the available funding is effectively used. Additional funding is also required to meet seniors' needs in the short and longer term. As such, the County should lobby and approach its State and Federal funding sources to: 1) overhaul the current rigid, categorical funding formula and 2) solicit support for piloting innovative and streamlined approaches for meeting the County's diverse senior population needs.
- Results driven and outcomes oriented: CSS is developing outcome measurements that assess the results achieved with longitudinal improvements in seniors' quality of life, physical and mental, independent living, or longevity by July 1, 2004. While the Grand Jury applauds the department for their planning efforts, we recommend that the department begin the implementation phase as soon as possible.

CSS Organizational Change

- Organizational transformation to achieve CSS's proposed strategic directions: To achieve its long-term care strategies, CSS will need to transform its internal work culture to become more results driven, innovative, and financially accountable, offering internally integrated programs with solid internal communications among its Area Agency on the Aging (AAA), Adult Protective Services (APS), and administrative functions. This transformation is not a simple process and can take 3 to 5 years to achieve.

Major Recommendations

1. The Community and Senior Services Department should move from planning to implementation of their *Long-Term Care Strategic Plan*. An outside agency should monitor this transition and progress.
2. Los Angeles County should ensure that its strategies address the full extent of County seniors' needs.
3. Community and Senior Services/Area Agency on Aging must take the lead to ensure effective coordination of services to deliver senior services via CSS's strategic collaborative departmental approach.
4. Given its recently adopted *Long-Term Care Strategic Plan*, Community and Senior Services/Area Agency on Aging is in a period of transition and CSS should develop a funding strategy.

5. Community and Senior Services should be restructured to support the Service Planning Area framework.
6. The Board of Supervisors should lobby for an overhaul of the funding categories developed at the State and Federal levels.
7. Community and Senior Services/Area Agency on Aging should continue to build on the Integrated Care Management experience to implement innovations in other program areas.
8. Formal communication channels should be developed and implemented for Community and Senior Services internal mid-management.
9. Community and Senior Services/Area Agency on Aging should develop more sophisticated systems and staff capabilities to manage and monitor program funding
10. Community and Senior Services/Area Agency on Aging and Community and Senior Services/Adult Protective Services should continue to develop a more qualitative and quantitative approach to tracking, managing, and measuring program and population-based outcomes.

The full report also contains Recommendations 11 through 24 which build on these initial 10 recommendations but address specific CSS programs for seniors.

Introduction and Background

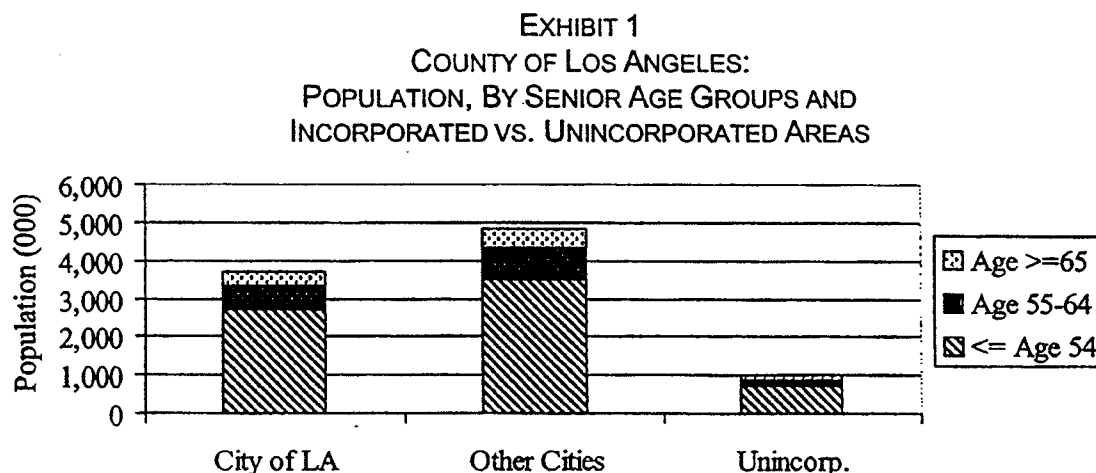
The 2002-2003 Civil Grand Jury investigated senior programs and services available through:

- The Los Angeles County Department of Community and Senior Services (CSS). The Area Agency on the Aging in CSS (CSS/AAA) and the Adult Protective Services in CSS (CSS/APS) and other related senior services and programs account for approximately 10% of the CSS Department's responsibilities.
- Community-based organizations (CBOs) that are funded by CSS
- Local cities in the County (but excluding the City of Los Angeles, which is funded separately from CSS).

Senior Demographics

According to the Census 2000 data, the County's total population is 9.5 million. The County's seniors, age 65 or older, number 926,673 or 10% of the population. If you include the 17% of the population which is between the ages of 55 and 64, the total percentage of seniors increases to 27%. Approximately 50,000 or 5% of the County's seniors, age 65 or older, are at the poverty level.

The senior population is spread geographically into 3 segments: 39% residing in the City of Los Angeles, 51% in one of the other 87 incorporated cities, and 10% in unincorporated areas, as shown in Exhibit 1. CSS/AAA is responsible for serving seniors in the areas of the County outside of the City of Los Angeles. The City of Los Angeles receives its funding for senior programs directly from the State and is therefore excluded from this study. The focus of this investigation is on seniors residing outside of the City of Los Angeles in either the County's incorporated areas or one of its other cities.



Compiled from Census 2000 data furnished by the Service Integration Branch, Office of the CAO to CSS

During the next decade, the number of County residents will increase dramatically, as will average ages and ethnic diversity. According to the Board of Supervisors' mandated report, *Preparing for the Future: A Report on the Expected Needs of the County's Older Population*,¹² the service demands for older adults will increase from 9.6% in 2002 to 18.6% by 2030. This projected increase was attributed to:

- The growing population of older adults (e.g. "baby boomers" becoming seniors)
- Increased survivorship – i.e., more people living beyond age 85.

As a result, more older adults will require more complex assistance and will likely demand increased services – medical, personal care, and financial assistance – over a longer time period. The report, which was jointly prepared by CSS and the Department of Health Services cautions that the County has only 10 years to prepare for such anticipated needs.

The current unmet needs of seniors, coupled with the large segment of the population age 55 to 65, indicates that the rising demand for senior services is already a reality in the County's local cities and unincorporated areas. On the basis of current indicators, the County's ability to meet the potential needs of this senior population is severely limited.

- Increases of the senior population in the incorporated areas.¹³ Projections for the incorporated areas indicate a pending growth rate of 73% – a current senior population, age 65 or older, of 751,835 and an additional population of residents, age 55 to 65 years of age, of 598,348.
- Increasing number of seniors in unincorporated areas. The 2000 census information shows that the number of County residents, 65 years or older, in unincorporated areas is 87,419 but the number of County residents, between 55 and 65 years of age, is an additional 73,936 – a pending growth rate of 85%.

The burden in the unincorporated area falls to the County since there is no "city" to pick up the slack in providing senior services.

Neither CSS nor the census estimates factor in death rates or net immigration trends but, with increasing longevity, the estimates represent a staggering potential increase to the service population. On the basis of these growth rates, the previous assumption by CSS that they have 10 years to prepare for the services required by this senior population bulge is unrealistic.

¹² Jointly prepared by the Community and Senior Services (CSS) (Aging and Adult Services Branch) and the Department of Health Services (DHS) in the County of Los Angeles. Adopted by the Board of Supervisors, October 1999.

¹³ Based on data for the 87 incorporated cities but excluding data for the City of Los Angeles.

CSS Mission, Programs, and Funding Sources

CSS's overall mission is to "provide comprehensive human services to residents of Los Angeles County in partnership with communities, businesses, and public and private agencies."

CSS provides an array of "safety net" social and human services to County residents through 28 different programs. The Grand Jury's investigation focused on only those programs aimed at the senior population administered and funded by the CSS Area Agency on Aging (CSS/AAA) and the Adult Protective Services (CSS/APS). CSS services are broad and varied, involving:

- Group meals or home-delivered meals
- Nutrition counseling
- Senior centers and recreational programs
- Adult day care or Alzheimer's day care centers
- Health insurance counseling
- Adult protective services to investigate physical abuse, neglect, self-neglect, or financial abuse
- Job training and placement for seniors
- Care managers or social workers to assist in obtaining community resources
- In-home care services (housekeeping, personal care)
- Help in finding in-home workers
- Family caregiver or respite services
- Legal assistance

In addition, CSS provides some programs which are not primarily targeted to seniors but which are available to them.

- Domestic Violence
- Workforce Investment Act
- Refugee Program
- Dispute Resolution
- Community Action Agency

Exhibit 2 highlights the key funding sources for CSS/AAA and CSS/APS programs.

Exhibit 2
FEDERAL AND STATE FUNDING SOURCES FOR SENIOR PROGRAMS
(TOTAL = \$53.4 MILLION FOR FY2001-2002)

FUNDS	BUDGET (\$000S)	PROGRAMS
AAA		
Older Americans Act, Title III-B	\$ 6,670	<input type="checkbox"/> Personal Care <input type="checkbox"/> Respite Care <input type="checkbox"/> Housekeeping <input type="checkbox"/> Registry <input type="checkbox"/> Minor Home Modification <input type="checkbox"/> Telephone Reassurance <input type="checkbox"/> Legal Assistance <input type="checkbox"/> Outreach/Mentor <input type="checkbox"/> Senior Centers <input type="checkbox"/> Alzheimer's Day Care Resource Center <input type="checkbox"/> ICM <input type="checkbox"/> Ombudsman
Older Americans Act, Title III C1-C2	\$10,432	<input type="checkbox"/> Home-Delivered Meals <input type="checkbox"/> Congregate Meals <input type="checkbox"/> Dietary Support Services
USDA	\$ 1,845	<input type="checkbox"/> Congregate/Home-Delivered Meals
Older Americans Act, Title III-D	\$ 436	<input type="checkbox"/> Effective Nutritional Health Assessments and Networks of Care for the Elderly (ENHANCE) <input type="checkbox"/> Disease prevention or health promotion <input type="checkbox"/> Related nutrition support
Older Americans Act, Title III-E	\$ 3,070	<input type="checkbox"/> Family Caregiver Programs <input type="checkbox"/> Family Caregiver Support Services <input type="checkbox"/> ADCRC <input type="checkbox"/> ICM
Older Americans Act, Title V	\$ 2,203	<input type="checkbox"/> Senior Employment Program
CBSP	\$ 1,845	<input type="checkbox"/> ADCRC; HICAP; ICM
AB 764 DMV Disabled Parking Violation Fees	\$ 700	<input type="checkbox"/> ICM
Older Americans Act, Title VII	\$ 272	<input type="checkbox"/> Ombudsman <input type="checkbox"/> Elder Abuse Prevention
APS		
APS	\$27,742	<input type="checkbox"/> APS <input type="checkbox"/> ICM <input type="checkbox"/> Inter-Agency with: <ul style="list-style-type: none"> • District Attorney • Health • Mental Health – Public Guardian and GENESIS • Consumer Affairs
Older Americans Act, Title VII-B	(refer to the Title VII budget above under AAA)	<input type="checkbox"/> Elder Abuse and Dependent Adult Abuse Prevention <input type="checkbox"/> Fiduciary Abuse Specialist Team (FAST) program (coordinated by a CSS/AAA contractor or CBO)

Source: Compiled from data collected from CSS

CSS's Contracting Networks and Revenues

To deliver its programs, CSS works with various partners and partner networks, involving other County departments, cities, and community agencies and organizations, representing 59 community-based organizations (CBOs) or contractors in FY2002 and 50 CBOs in FY2003. The breakdown of CBOs for FY2003 is:

- 25 CBOs for nutrition
- 25 CBOs for the ICM program
- 44 CBOs in Supportive Services (Title III-B, CBSP, Title III-E, including the ADCRC, HICAP, and Caregiver Support Services
- 110 Senior Employment Program (Title V) host agencies.

CSS has more than 100 contracts with its CBOs. For Fiscal Year (FY) 2003, CSS's budget of \$185.3 million came from three key funding sources. Less than one-third of the \$185.3 million is allocated to senior programs:

- Non-County government sources – Federal and State sources, license and permit fees, court filing fees, parking fines, and local sources, representing 62% of the budget or \$114.8 million
- Intra-fund transfers from other County departments – Collaboration with other County departments, representing 36% or \$66.2 million
- General Fund – The County General Fund, representing only 2% or \$4.4 million.

Methodology

The general question the Grand Jury considered: Is the County reaching all of the *right* people at the *right* time with high quality, effective services that are reasonably priced?

- We reviewed an extensive collection of documents, including CSS's *Strategic Plan*, CSS/AAA's *Long-Term Care Strategic Plan*, financial data, AAA report on *Preparing for the Future: A Report on the Expected Needs of Los Angeles County's Older Adult Population* (1999), contracts, delivery measurements, organizational charts, etc.
- Interviews were conducted with CSS executives and key program managers in charge of
 - Adult Protective Services (APS)
 - Supportive services, including the In-home Registry
 - Senior Employment Program

- Alzheimer's Day Care Resource Centers (ADCRC)
 - Health Insurance Counseling and Advocacy Program (HICAP)
 - Congregate Meals and Home-delivered Meals
 - Effective Nutritional Health Assessments and Networks of Care for the Elderly (ENHANCE)
 - Fiduciary Abuse Specialist Team (FAST)
 - Integrated Care Management (ICM)
 - Geriatric Evaluation Networks Encompassing Services, Information Support (GENESIS)
- A written survey (in English and Spanish) was designed and mailed to 17,000 households with seniors – stratified, by zip code, and randomly selected. This sample is representative of the general senior population in the County of Los Angeles. More than 2,600 seniors – a 15% response rate – completed this survey.
 - Copies of the written survey and a website version of the survey (in English and Spanish) were made available to all senior sites. The surveys were distributed to users of senior services and senior center staff. In total, 1,770 seniors and staff completed this survey at senior service sites.
 - A written survey (also available on a website) was sent to 257 mayors, city managers, and interested department heads or managers involved with senior programs in the 87 cities in the County, except the City of Los Angeles. In total, 51 surveys were returned.
 - Public service announcements about the surveys were distributed to 11 radio stations and 9 newspapers, including publications in Spanish, Korean, and English.
 - During site visits at 15 randomly selected community senior centers, the Grand Jury:
 - Interviewed the onsite managers, CBOs, and staff
 - Observed services provided on site
 - Requested that the seniors using the site complete the written survey
 - Conducted information interviews with selected seniors.
 - Standard AAA contracts and selected case files were also reviewed.

GENERAL PROGRAM FINDINGS AND RECOMMENDATIONS

Department Overview

In terms of CSS, the investigation focused on the programs and services offered to seniors through the Area Agency of Aging (AAA). AAA's mission is to "identify unmet needs of older adults and functionally-impaired adults as well as planning, coordinating, and implementing programs that promote the health, dignity, and well-being of the County's residents."

CSS, its senior center staff, its CBOs, and its cities have been very cooperative during the conduct of this investigation and view the nature of this inquiry as timely. Since CSS embarked on its strategic planning efforts, it has been developing many initiatives that will better position the Department in the longer term. Among these initiatives are:

- **Strategic Plan:** During the past two years, CSS embarked on an extensive and collaborative strategic planning process, involving CBOs, cities, and other senior stakeholders. CSS's strategic plans build on the County's Strategic Plan's goals and associated strategies.

In addition, CSS/AAA has developed a comprehensive *Long-Term Care Strategic Plan for the Aged and Disabled of Los Angeles County*. The *Strategic Plan* covers a three-year planning effort that draws on the collaboration of multiple County and municipal agencies and addresses both short-term and long-term goals for the aging community.

- **Information technology (IT) future development:** CSS has identified both technical and program areas where the current IT system does not meet the Department's needs. Recognizing this shortcoming, CSS has contracted with the County's Information Technology Service (ITS) in the Internal Services Department (ISD) to develop a comprehensive system. The system is in its early design stages and is expected to be implemented by 2004. According to CSS, the new system will be updated daily, web-based, Windows application, CSS-LAN connected, Internet available, user-friendly, centralized, and comprehensive; it will track:
 - CSS clients by programs so CSS can identify what services clients are receiving at any given time
 - Data for the generation of reports, including performance measurements and outcomes
 - Contractor expenditures as CBOs submit performance data

An added benefit is that the system will link the CSS branches into one automated system (currently APS and AAA have different computer programs).

- Involvement in the County initiative for developing performance measures: CSS is participating in the County's performance measures pilot, "Performance Counts!" The purpose of the pilot is to: a) develop a County performance measurement framework within which different departmental methodologies may co-exist and b) ensure consistency with the County's Strategic Plan and other related measurement efforts. The proposed framework for building a County system of performance measurements is guided by the following principles: simplicity, appropriate priorities, flexibility, and consistent with the County's mission and Strategic Plan.
- Partner network: CSS/AAA has established a network of service providers and meets regularly with them. Within the network, certain agencies have formed their own consortia, such as the Asian-Pacific Islander agencies collaborating on case management. In other instances, community colleges offer classes and health maintenance organizations (HMOs) bring screening programs to seniors at sites.
- Establishment of a new Quality Assurance and Fiscal Accountability Section to enhance contract review and oversight: In response to a recent Auditor-Controller audit findings and recommendations, CSS established the Quality Assurance and Fiscal Accountability Section comprised of staff with financial and auditing expertise. To ensure that contracting through CSS meets with local, State, and Federal regulations, CSS has: 1) established a set of standard contract monitoring tools and standardized contract documents; 2) developed standardized reports that provides the contractor under review the objectives, scope and methodology of the monitoring and clearly states the findings, recommendations and corrective action plan as needed; and 3) centralized Departmental and contractor inventories to maintain control. CSS/AAA has developed a new manual for their monitors to use. The manual should streamline and make the monitoring process consistent.
- Inter-agency agreements: CSS/APS has formalized a team of County agencies and providers to address the issue of Elder Abuse. The other County agencies include the District Attorney, Consumer Affairs, Department of Health Services (DHS), and Department of Mental Health, including the Public Guardian program, discussed later. Later recommendations address how to strengthen these inter-agency relationships.
- Integrated Care Management (ICM) model: Discussed in greater detail later, CSS designed and implemented the three-year Integrated Care Management (ICM) demonstration project to show the effectiveness and cost-efficiency of providing care management and service coordination. CSS's design involved the use of five Federal and State funding sources

for ICM. The ICM demonstration project ended in 2002. ICM is now a permanent CSS program for functionally impaired seniors. Federal and State categorical funding requirements, however, limit the potential for fully integrating services for seniors.

- Strengthening of the RFP process: CSS/AAA is implementing new contracting procedures to use funds more effectively. This includes distributing funds more equitably among the SPAs and requiring CBOs to now meet specific program targets and clients for Title III-B funding.
- CSS's strategy to align services to complement the 8 County SPAs: The County's departments and agencies that are involved with human and social service programs have adopted 8 geographic regions (called SPAs) for aligning their services and functions in a cohesive and collaborative way. Exhibit 3 displays these 8 SPAs and the geographic areas they encompass. CSS plans on aligning its programs and services to be consistent with the County's strategic thrust for SPAs.

EXHIBIT 3
COUNTY OF LOS ANGELES:
GEOGRAPHIC AREAS OF THE SERVICE PLANNING AREAS (SPAs)

SPA	TITLE	GEOGRAPHIC AREA
1	ANTELOPE	Antelope Valley
2	SAN FERNANDO	Gréater San Fernando Valley (SFV) and Santa Clarita Valley (e.g., La Canada Flintridge, Westlake Village, Glendale, Burbank)
3	SAN GABRIEL	San Gabriel Valley (e.g., Monterey Park, Pasadena, Claremont, Rowland Heights, Pomona, Diamond Bar)
4	METRO	Downtown and north environs (e.g. Silverlake, Los Feliz, Echo Park)
5	WEST	West of downtown (e.g., Marina del Ray, Santa Monica, West Hollywood, and Malibu)
6	SOUTH	South of downtown (e.g., Florence, Compton, Willowbrook, Paramount, Lynwood)
7	EAST	East-southeast of downtown (e.g., East Los Angeles, South Gate, Cerritos, Whittier, Montebello)
8	SOUTH BAY/ HARBOR	South Bay/Harbor (e.g., Long Beach, San Pedro, El Segundo, Redondo Beach, Inglewood, Lennox, Carson)

Source: Compiled from data collected from CSS

General Recommendations

Recommendation 1: The Community and Senior Services Department should move from planning to implementation of their *Long-Term Care Strategic Plan*. An outside agency should monitor this transition and progress.

Recommendation 2: The County should ensure its strategies address the full extent of County seniors' needs.

The County has an aging population, which will become a stronger senior advocacy group in the next 3 to 5 years. No single agency, however, is addressing the full extent of the County's senior needs as the survey shows. CSS's focus is on the target population defined in the Older Americans Reauthorization of 2000, namely, previously targeted groups¹⁴.

During its strategic planning process, CSS embarked on a collaborative process involving many departments and stakeholders to begin to coordinate services for seniors across the County. CSS funding, however, addresses about 10% of the senior population needs. Except for the APS's ongoing education campaign (which includes billboards, promotional merchandise, etc.), local cities, CBOs, and CSS/AAA programs generally maintain low profiles and seldom advertise the services available. Some are concerned that, if advertised, the likely demand for services would far exceed the capacity of the system. Keeping the programs "a secret" is in some ways an implicit rationing device. As a result, many seniors do not know of the programs and services available and their needs may go unmet. Compounding the situation is the lack of information on the senior demographics, ethnicities, and diverse needs, making it difficult to estimate unmet needs.

To understand the real needs of seniors, use resources appropriately, and set priorities across programs, CSS needs to systematically update demographic projections and routinely survey seniors. By conducting surveys, CSS will be better informed in making decisions, given their limited budget, and become more effective senior advocates. Only with clear, irrefutable information on the extent of seniors' needs and corresponding cost-benefit arguments to support program expansion will CSS be able to better serve their clientele.

Recommendation 3: Community and Senior Services/Area Agency on Aging must take the lead to ensure effective coordination of services to deliver senior services via CSS's strategic collaborative departmental approach.

¹⁴ That is, those in greatest social and economic need with particular attention to low-income and minority elderly, Native Americans, and persons with Alzheimer's disease and related disorders (and their families).

Seniors (both the senior population at large and users of senior services) have consistently expressed their top concerns in the survey as:

- Health care
- Housing, including assisted living
- In-home services (housekeeping, personal care)
- Safety and security
- Transportation

Their preferred social or recreational programs include:

- Field trips or travel
- Exercise classes
- Walking or hiking
- Plays, music, or other performance arts
- Companionship or social visits

These concerns and interests overlap with other city and County departments services, including:

- Department of Health Services (DHS) for public health and health care
- Community Development Commission (CDC) for housing
- Metropolitan Transportation Agency (MTA), CDC, and Public Works for transportation
- Sheriff and police for safety and security
- Parks and Recreation for recreation, exercise, walking, and hiking activities
- Libraries, parks, and related human services activities in the 87 cities in the County.

The basic service delivery conundrum is whether to have: a) traditional departments provide programs in their "areas of expertise," tailored to the specific needs of this demographic segment, or b) CSS/AAA provide these services with programs that are sensitive to seniors' requirements. From a review of the data collected, two major problems have emerged:

- Seniors have insufficient information about what services are available. As a result, there is substantial hidden demand that is not being reported or serviced.
- Depending on their mobility, health, or financial means, many seniors need help accessing a coordinated set of services designed specifically to meet their needs.

A reasonable "hybrid" model would be to have CSS act as a strong advocate for and coordinator of senior services. For example, CSS and the Library currently collaborate in one SPA by having a home-delivered meals program bring books with

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their meals to seniors in their homes. The Board of Supervisors and CAO should continue to stimulate collaboration between County departments and CSS in meeting the needs of the County's seniors.

Other involved County departments should be given a mandate to work closely with CSS who will take the lead in coordinating senior services across departments. CSS should also coordinate services to deliver a comprehensive package of senior services tailored to seniors' needs, as discussed in later recommendations. For many seniors, this type of support will allow them to maintain a high quality, independent life style for a number of additional years.

Recommendation 4: Given its recently adopted *Long-Term Care Strategic Plan*, CSS/AAA is in a period of transition and CSS should develop a funding strategy.

Current resource levels (e.g., funding, staffing, facilities) appear insufficient to achieve these goals in a reasonable time frame.

Seniors have not been a focus of County government. Given the aging population and significant demographic shift, the County must focus more attention on and re-allocate resources to deal with the needs of these residents. Two resource issues that need to be addressed are funding to help CSS accomplish the organizational change implied in the *Long-Term Care Strategic Plan* and program funding to meet the growing needs for services to seniors.

Historically, CSS has been a fiscal conduit for distributing Federal and State monies to service providers. Its new strategy is to become more directly involved with senior issues and service delivery. But CSS's past, work culture, areas of expertise, and systems, including human resources and legal capabilities, will constrain CSS in achieving its new strategic directions.

Structure follows strategy. The organizational culture must be significantly revamped to achieve the *Long-Term Care Strategic Plan*. This revamping involves a dramatic shift from allocating Federal and State funds to a client-focused or senior-focused approach. Normally, organizational development programs of this magnitude take 3 to 5 years to develop and implement. Given the population growth of seniors, this implementation will need to be accelerated (implying additional costs) to meet the new mandate. The current proposal by CSS to self-fund the reorganization is probably unrealistic unless the time frames and expected performance goals are seriously relaxed.

An even more fundamental question for the County, given our findings regarding current service levels and future population growth, is the need for a funding strategy to address senior needs. This funding strategy should consider:

- Allocation of County funds to this social policy area for new programs or growth of existing programs
- Advocacy for more Federal and State funding
- Potential pursuit of bond measurements for senior centers
- Support or pursuit of proposed legislation that addresses senior funding issues, program delivery innovations, and streamlining of senior services.

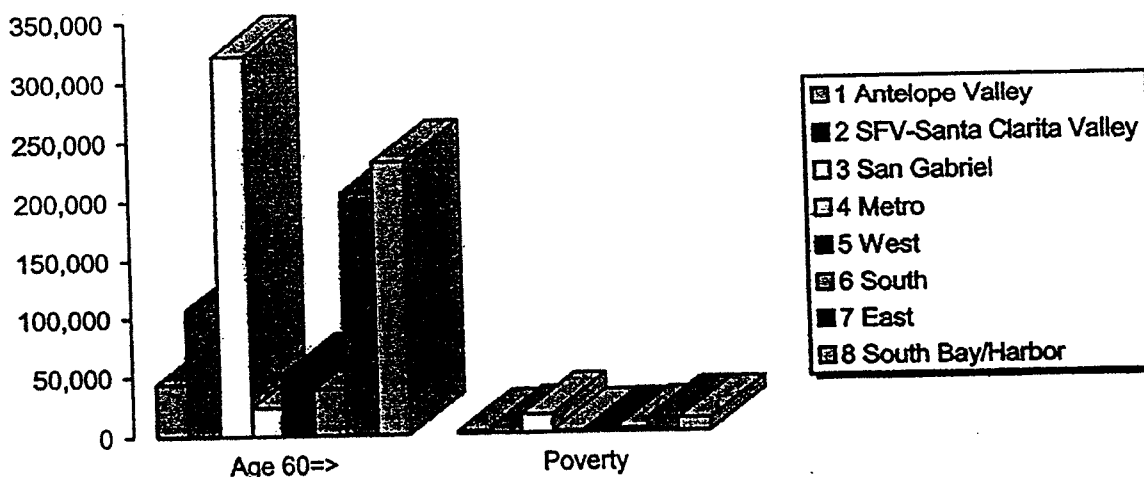
Recommendation 5: CSS should restructure itself to support the SPA framework.

Senior services and programs are not currently aligned with the SPAs. While there is a list of the CBOs, by SPA, and the supervisory areas they serve, it is not clear that there has been any needs assessment done for any particular area. The overall CSS goal directed at the CBOs is to serve a fixed percentage (45%) of clients who are minority and low income (as per the OAA Reauthorization of 2000).

CSS plans to realign the funding allocations based on the SPA population, beginning in the next fiscal year. Exhibit 4 displays the current proportion of the senior population by SPA, by age and poverty status. SPA 3 (San Gabriel Valley), SPA 7 (East), and SPA 8 (South Bay/Harbor) have the largest number of seniors residing with proportionately higher levels of seniors living at or below the poverty level. Appendix A contains further breakdown on the general senior population survey findings, by SPA.

EXHIBIT 4
COUNTY OF LOS ANGELES:
SENIOR POPULATION, BY SPA AND POVERTY LEVELS

Senior Population



Source: Compiled from Census 2000 data furnished by Service Integration Bureau, CAO's Office to CSS

Recommendation 6: The Board of supervisors should lobby for an overhaul of the funding categories developed at the State and Federal levels.

Given its size, national prestige, and diverse challenges facing its senior population, the County should lobby for changes in the Federal and State categorical funding approaches that currently lack the necessary flexibility to use the dollars effectively and efficiently. Several of the programs have inconsistent age eligibility. Funding must be used for specific programs and not general senior programming.

Examination of the current programs and legislation reveals that the categorical funding is a major impediment to effective use of resources. Except for the Integrated Care Management (ICM) Program, a pilot project involving the use of five Federal and State funding sources (and discussed later), little integration among programs occurs. CSS management, however, recognizes this limitation and designed the ICM pilot program in an effort to meet unmet needs and build the case for greater integration to its funding sources at the Federal and State levels.

Most providers find the multitude of Federal and State rules and audits to be onerous and an ineffective diversion of time and resources from service delivery with minimal improvements in quality. Even in the ICM, service providers are required to maintain and code costs against the five funding programs.

This is an area where the County and California could take a leadership role, perhaps by negotiating pilot programs with the U.S. Federal Government. The goal of the pilot programs is to demonstrate the advantages in terms of:

- Service improvements
- Quality of life for seniors
- Economies generated by the reduction of red tape
- Streamlining of the bureaucratic infrastructure needed to support the current hodgepodge of programs, reporting rules, and differing access criteria.

Recommendation 7: CSS/AAA should continue to build on the Integrated Care Management experience to implement innovations in other program areas.

The CSS management team should continue to: a) ensure the County gets its fair share of Federal and State programs and b) meet all Federal and State criteria to ensure that the funding is maintained. Clearly, attention to legislative requirements is prudent. But the management team must learn to address both areas more effectively. Balancing the compliance requirements against customizing programs to meet seniors' needs is a difficult challenge.

Greater attention to and a solid investment in "market research" of their clients' needs/wants will put CSS in a better position to negotiate changes in ineffective rules

and programs. Similarly a clearer focus on meeting the needs of seniors will be an impetus to building new goals and appropriate information systems to measure how well CSS is achieving its overall mandate as discussed here and in its *Long-Term Care Strategic Plan*.

Recommendation 8: Formal communication channels should be developed and implemented for CSS internal mid-management.

Historically, CSS's program managers and staff members have worked within their own "organizational silos" with minimal contact with their peers in other areas. Limited internal management communications cause breakdowns in program management, administration, contract monitoring, and fiscal issues.

AAA and APS – both dedicated to senior-related initiatives – have maintained separate goals and objectives, and primarily work independently of each other. Within the senior programs specifically, there are different computer systems, reporting mechanisms, and operating procedures between AAA and APS. It appears information is only shared when necessary or required by State or Federal reporting requirements. In addition, the bifurcated method of delivering services to seniors – by contracting-out on one hand and in-house staff on the other – lends to this division of communication. As a result, there does not appear to be any bridge to analyze and assess both areas under the mantle of senior programs.

This situation is further complicated with a breakdown in communications of AAA and APS program coordinators and CSS staff performing the administrative functions (e.g., budgeting, accounting).

Fiscal Recommendation

Recommendation 9: CSS/AAA should develop more sophisticated systems and staff capabilities to manage and monitor program funding.

During the mid-year evaluations of meal programs, CSS determines such items as: a) number of meals served by CBO to determine if 95% of the targets are met; if not, CSS reallocates the dollars from low-performing CBOs to high-performing CBOs. Several shortcomings in fiscal operations limit the ability of CSS/AAA staff to manage and monitor programs from a fiscal accountability perspective.

- CSS/AAA staff should track budget versus actual expenditures, by program. The current fiscal reports check only if the monthly expenses are within the budgeted amounts. CSS/AAA performs little analysis of actual units or service levels provided, comparing the budgeted level or the monthly expenses to the units of service. The contract monitor completes the only service-oriented evaluation, which covers only a two-month period of the previous fiscal year. The

measurements for checking the program achievements, however, appear insufficient, as discussed later.¹⁵

- CSS's MIS Division should develop user-friendly reports and facilitate access to needed databases to analyze and manage programs. In general gathering meaningful performance statistics on CSS/AAA programs is an arduous task. Senior CSS management does not routinely use the best-designed report (identified during the investigation) to determine yearly units of service delivered. In fact, the numbers were viewed as dubious due to malfunctions in the reporting mechanism.
- Program staff should be trained in analyzing and tracking fiscal, operational, and performance data. The kinds of data that staff should routinely assess are: caseloads, financial data, cost per case, percentages of need met, and program outcomes. There is little awareness at even the manager level that cost and units of service should be identified and analyzed regularly. Reporting of measurements is done for the State and Federal reporting requirements but minimal reporting occurs for internal productivity or assessment purposes. The State and Federal requirements, however, primarily request only funding levels and not units of service – a critical factor of potential impact on seniors.
- CSS/AAA should analyze the causes for CBOs who have costs that routinely exceed allocated levels. CSS/AAA's fiscal policy is not to pay any amounts above the budgeted amount. The contract monitors, however, compare the actual service level to the original performance indicators even if the units of service have increased because of budget increases during the year. Moreover, CSS/AAA cannot readily determine if the CBO's cost overruns occurred because of increased service levels or problems in its reporting system. Even though CSS/AAA does not pay for cost overruns, it should analyze the causes for such discrepancies between planned and actual units of service.

Deficiencies in such analytical capabilities handicap CSS/AAA staff from carrying out their day-to-day management responsibilities, monitoring programs, evaluating program outcomes, planning for future needs, and fulfilling public accountability.

Provider Relations, Contract Monitoring, and Outcome Measurements

During 2002, the Auditor-Controller identified contract monitoring as an area warranting improvements within CSS. In response, CSS/AAA management took the following actions to improve the contract monitoring function:

- The Department developed a new manual for CSS/AAA's contract monitors, who oversee more than 100 contracts, with approximately 59 different CBOs. The

¹⁵ Based on a review of selected contracts.

manual streamlines different monitoring procedures used in different programs to ensure both program and fiscal integrity to the CSS/AAA programs.

- In addition, CSS has developed a second manual for the CBOs to streamline the procedures for site visits; this second manual complements what the contract monitors are assessing.
- CSS hired management personnel to oversee the CSS/AAA's entire contract monitoring process.
- CSS created a new unit, the Quality Assurance Unit, to orchestrate a CSS-wide uniform contract monitoring process.
- CSS is furnishing department-wide training, in collaboration with the Auditor-Controller, for its contract monitors to ensure program and fiscal integrity.

Recommendation 10: CSS/AAA and CSS/APS should continue to develop a more qualitative and quantitative approach to tracking, managing, and measuring program and population-based outcomes.

CSS/AAA and CSS/APS acknowledge the need for a formal measurement system of program outcomes and are currently working with the County's "Performance Counts!" Program. In the interim, the contract-monitoring unit measures CSS's performance, the most thorough of which is the nutrition assessment program but it also has limitations:

- CSS/AAA lacks an overall quantitative report that compares all funding (original budget and one-time only (OTO) funds) and compares these dollars against units served. (Note: OTO funds are from two sources: 1) dollars the State gives back to an agency from the previous year's surplus and 2) dollars CSS takes from low-performing CBOs after completing its mid-year check on performance levels. CSS can reallocate available OTO funds to high performing CBOs.)
- The number of users (as recorded on sign-in sheets) of congregate meals is monitored and the nutritional value of the planned menu is assessed; other measurements of success are not. The evaluation report used by the contract monitor for Title III-B programs is a report page with the titles "reported," "contracted," and "verified" on it and the CSS monitor has essentially agreed with the reported number.
- CSS/AAA knows the number of meals served but does not know the number of individuals served. They estimate that approximately 18,000 seniors are served meals, averaging 105 meals per person per year – or approximately 2 meals per week. The CBOs do report on the number of duplicated and unduplicated clients

but it is not clear how these numbers are to be interpreted. In addition, CSS does not seem to indicate this number in any clear fashion.

- CSS/AAA conducts annual assessments with each CBO; an assessment consists of a site visit that usually takes up to four days. The contract monitor reviews two months of data. Our review of three contracts found:
 - The contracts lacked specifics on the collaborative outreach.
 - The monitoring tool to check on units of service provided was unclear as to how the measurements were taken and what the findings determined.
 - A CBO was commended for performance but some programs appeared to compare monthly to yearly figures, inflating the CBO's overall record.
 - There is a lengthy checklist for the contract monitor to mark off, but the back-up material to the responses to many questions was not apparent.
 - One of the contracts contained three amendments, adding OTO funds to that year's contract. This was the one CSS/AAA analysis that indicated funding and units of service together.
 - The Appendices in the contract include unit value and number of units but there is no reference to the number of clients or how often a client would receive 'Housekeeping' services, for example.
 - It was unclear what the total amended package ultimately was for the CBO due to the number of amendments and appendices in addition to the original contract.
 - The calculations were not always accurate from page to page, making it difficult to understand how much the CBO was responsible for.

In addition to the many information systems problems encountered in most CSS programs during the investigation, CSS/AAA and CSS/APS lack a set of unifying goals for seniors that are outcome oriented. In addition, we did not find outcome goals that applied within programs or across programs. Frequently, the "goals" are process measurements, such as number of meals per client; per meal costs, aggregate nutrition versus the impact on specific seniors' needs (i.e., outcomes). Many of these goals are actually rules laid down by the Federal or State entities and have deflected CSS from focusing on outcome-related goals or results.

In the context of the new *Long-Term Care Strategic Plan*, CSS needs to develop a clear set of desired outcomes that they are attempting to achieve for each program. Such outcome measures should be linked to the County's priorities for fiscal

responsibility, service excellence, workforce excellence, and organizational excellence. The types of goals that are more outcome or results oriented cluster into five areas:

- Quality of life (e.g., the ways in which the intervention has improved seniors' quality of life)
- Physical health (e.g., mobility)
- Mental health
- Increased independent living
- Longevity.

Specific Program Recommendations

The remaining recommendations build on the initial 10 recommendations discussed above, but are focused on specific CSS programs for seniors. For each senior program or service, some background information is presented first (description of the services, eligibility criteria, and funding sources), followed by the specific recommendations

Integrated Care Management (ICM) Program

The Integrated Care Management (ICM) Program was a three-year demonstration project to show the effectiveness and cost-efficiency of providing care management and service coordination. The demonstration ended in 2002 and the program is now a permanent program for functionally impaired seniors. Exhibit 5 displays the ICM funding and caseload, by funding source.

EXHIBIT 5
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
ICM FUNDING¹⁶ AND CASELOAD
(FY2001-2002)

SOURCE	BUDGET (\$000s)	CLIENTS PER YEAR	COST PER CLIENT
APS	\$1,800	4,076	\$442
Title III-B Supportive Services	\$1,800	9,896	\$182
Community Based Service Programs	\$ 618	4,154	\$149
AB764 Disabled Parking Violation Fees	\$ 468	4,483	\$104
Family Caregiver	\$1,076	N/A	N/A
Total	\$5,762^{17,18,19}	22,609	

Source: Compiled from data collected from CSS.

¹⁶ Represents Federal and State funds only; no matching funds included.

¹⁷ The Federal Title III-E Family Caregiver is not an intake point for ICM.

¹⁸ Client numbers include City of Los Angeles data for APS and AB 764 as do their respective budgets.

¹⁹ ICM budget represents 10% of the entire Senior Services budget

- ICM involves a full range of senior services. Using 26 CBOs, ICM links clients with appropriate services including: intake screening, in-home assessment, care planning, case management, and case monitoring. Instead of a client receiving intake from one specific program, the client can now be referred to other CSS programs. To be eligible, the client must be functionally impaired. ICM serves functionally impaired adults, age 18 years and older. To access Title III-B funds, though, clients must be 60 years or older. All functionally impaired County residents, including those in the City of Los Angeles, are potentially eligible for this program.
- In FY2002, ICM served 22,609 clients, including those from the City of Los Angeles. The population of seniors served is approximately 18,700 based on a senior rate formula of 70% for senior/dependent adult programs. Funding for ICM from APS and AB 764 also includes services for clients in the City of Los Angeles; the number of clients served in FY2002 were 1,539 and 1,305 respectively.

Recommendation 11: CSS/AAA should enhance management oversight for ICM to ensure cohesive implementation, monitoring, and program coordination.

Because of other internal CSS commitments, the current ICM manager is not actively engaged in overseeing, assessing, and evaluating the implementation of the project; it is primarily CBO-driven.

ICM warrants more CSS management oversight. To obtain information or answers on ICM, multiple managers must furnish input, making accountability for ICM almost impossible to identify. The ICM Evaluation Report of the ICM Demonstration Project (ICMDP) also cited these concerns.

- Because of Federal and State requirements, ICM is subject to complicated accounting of fund use to balance dollars available to meet client needs. Although a network of services is now available to the client, there has been little reduction in administrative work for the CBOs. The CBOs²⁰ receive funds from either all or the majority of the five funding sources, which allows them to provide the client services associated with each funding source. Because no mingling of funds can occur, a client whose intake area is APS, for example, must be charged for services to the APS account until the case is disposed. This is complicated and confusing because the CBO must balance the needs of the client against availability of funds and eligibility for funds.
- ICM program evaluation is cumbersome. ICM lacks integration or synthesis of caseload data and uses the same evaluation methods as designed for the individual programs. Other shortcomings identified are: a) possible duplication

²⁰ 24 CBOs in FY2001-2002 and 25 CBOs in FY2002-2003.

in the client counts and b) lack of a program reporting structure to evaluate services most needed, timelines, intake pattern. This critical issue was raised in the ICM Evaluation Report as well:

The ICMDP was not originally designed to measure specific clinical or financial outcomes. This evaluation, therefore, was not able to measure Logic Model client outcomes directly due to the absence of longitudinal clinical data particularly in the MIS database. Current data available does not measure ADL, IADL or cognitive functioning over time, institutionalization (hospital, nursing home) or re-referral to APS within a given time frame. Without accessible, longitudinal data, the question of the cost-effectiveness of this innovative model cannot be truly addressed. Source: *Integrated Care Management Demonstration Project – Evaluation*, prepared by Partners in Care, January 2002.

CSS/AAA should ensure the administrative capacity to:

- Oversee the policy implementation of ICM
- Identify and analyze the productivity of the CBOs
- Establish cost-benefit and cost-effectiveness targets
- Expand the current multi-funding model into a client-centered model, which could track clients on a longitudinal basis.

Congregate Meals and Home-Delivered Meals

The purpose of congregate and home-delivered meals is to maintain or improve the physical and social well being of mobile and homebound seniors through nutrition services.

The criterion for eligibility is based solely on age, not need. Any Los Angeles County resident, age 60 years or older, is eligible. Some centers and CBOs request a donation to assist with their subsidization of the meal costs; suggested donation amounts vary from approximately \$1 to \$4.

- CSS/AAA serves meals to a large number of seniors, compared to other senior programs. Last year, 18,808 individual seniors regularly received congregate meals and 7,165 regularly received home-delivered meals.
- CBOs supplement the CSS/AAA funding with their own fund-raising capabilities to better meet the needs of the seniors they serve. As shown in Exhibit 6, CSS/AAA receives funding from the Older Americans Act (OAA), Title III-C1 (\$5.64 million including State funds) and Title III-C2 (\$4.15 million including State

funds) for this program. CSS/AAA distributes these monies to 25 contracted service providers, which serve meals at 100 congregate meal sites, operating up to 5 days per week, and 5 to 7 meals per week for an additional 40% to 55% of the total budget. (CSS CBOs receive approximately \$2.9 million in donations per year.)homebound seniors. The contracted service providers often supplement these dollars from other revenue sources. Contributions, grants, in-kind services, and donations account

EXHIBIT 6
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
TITLE III – C1 AND C2 – CONGREGATE AND HOME-DELIVERED MEALS
(FY2002)

	FEDERAL/ STATE*	NM/M* CONTRIBUTIONS	GRANT INCOME	IN KIND	TOTALS*
Congregate Meals (\$000s)					
Budget	\$5,643	\$1,471	\$1,960	\$3,625	\$12,700
Actual	\$5,298	\$2,792	\$2,106	\$3,967	\$14,163
Difference	(\$345)	\$1,321	\$146	\$342	\$1,463
Home-Delivered Meals (\$000s)					
Budget	\$4,156	\$698	\$1,008	\$870	\$6,732
Actual	\$3,823	\$701	\$837	\$837	\$6,192
Difference	(\$333)	(\$3)	(\$171)	(\$33)	(\$540)

() Represents less than budgeted amount.

* Federal/State includes USDA funding.

** Includes Non-Matching (NM) and Matching (M) contributions.

Source: Compiled from data collected from CSS

Recommendation 12: CSS/AAA should monitor its meal-related budgets more closely to ensure that it is taking advantage of all available monies.

The data seem to indicate that CSS/AAA serves fewer congregate meals than budgeted for but deliver more in-home meals than budgeted for. Since the only fiscal check done is to ensure service providers have not overspent their contracted amounts, there is no program fiscal analysis to assess the overall budget for Title III-C1 funds. Moreover, there is no analysis for congregate meals to determine the administration expenses versus CBO costs.

Exhibit 7
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
CONGREGATE AND HOME-DELIVERED MEALS,
BUDGETED AND ACTUAL MEAL COSTS
(FY2002)

	TOTAL (\$000s)	FEDERAL/ STATE (\$000s)	TOTAL MEALS	TOTAL COSTS PER MEAL	FEDERAL/ STATE COSTS PER MEAL
Congregate Meals					
Budget	\$12,700	\$5,643	1,975,758	\$6	\$3
Actual	\$14,163	\$5,298	1,582,613	\$9	\$3
Home-Delivered Meals					
Budget	\$6,732	\$4,156	938,108	\$7	\$4
Actual	\$6,192	\$3,823	998,587	\$6	\$4

Data source: Amended Budget FY2001-2002 and Financial Close-Out for FY2001-2002.
Meal numbers based on Budget and Close Out Reports for FY2001-2002; USDA Senior Meals.
Source: Compiled from data collected from CSS

In addition, when comparing actual costs per meal versus budgeted costs per meal, total actual costs for congregate meals are \$9 each and \$6 each for home-delivered meals (versus total budgeted costs of \$6 per congregate meal and \$7 per home-delivered meal). CBOs must raise a substantial amount of funds to operate the meal programs, yet more than \$650,000 in Federal and State funds were not exhausted during the FY2001-2002 contract period.

Recommendation 13: Working with the CBOs for meals, CSS/AAA should develop a new model for food services that permits greater flexibility to meet the needs of the seniors in the diverse communities of Los Angeles County.

The number of meals served via CSS funding is impressive; CSS's involvement of community advisory groups to plan meal programs is also noteworthy. Current Federal and State regulations restrict some desired innovations in congregate meal programs. Grand Jury members visited 15 sites where they observed the following:

- There is little ability to change a menu for weather or other purposes
- There are few creative ideas with respect to leftovers (a health and safety issue), resulting in wasted food and seniors stowing extra food for use later at home.
- If a hot meal was planned three months in advance, a hot meal is served on the specified day, even if there's a heat wave.
- There is little choice of food items. As a result, a lot of the food ends up in the garbage, particularly spinach and broccoli.
- Centers "invent" birthdays and various celebrations to get around the limited number of days a sweet dessert can be on the menu.

- The food services offer little choice and dignity (seniors are treated like adolescents).
- The annual re-contracting is a cumbersome and time-consuming process.
- The monitoring program is ineffective, time consuming, and capricious, focusing on counting signatures of seniors.
- One center reportedly turns seniors away for meals if they have not made a donation or purchased a meal ticket.

Meal programs are typically offered 3 to 5 times a week. Most seniors express genuine gratitude about the current program. They are frequently reluctant to convey any concerns for fear that they might “bite the hand that feeds them.” So, ratings of the program tend to be much higher than the impression obtained when discussing the programs directly with them. Two elements of this program are probably of equal importance to the overall health and quality of life of the seniors who use this service, namely:

- Nutrition – Basic nutrition is a key to good health, both mental and physical. This program is an important component of any portfolio of services to be provided to seniors.
- Socialization – In most cultures, meals are also a social occasion: a time to get together, share information, and enjoy each other’s company – a constant theme in discussions with seniors at congregate meals. Many came 1 to 2 hours before the meal to socialize with other seniors.

The limited budget requires low-cost food/ingredients and minimal preparation time to serve the numbers that require this service; however, the importance of the social contact, the need for regular high quality nutrition, and the importance of the dignity of seniors served cannot be minimized.

Therefore, CSS/AAA should embark on a comprehensive rethinking of this program. The new model should balance nutrition needs (and advice) with client choice that is culturally sensitive to the seniors being served. The model should involve designing more innovative approaches and obtaining the needed funding; potential ideas are:

- A 7-day per week plan with appropriate hygiene and packaging to deal with spoilage issues
- A computer-based modeling system that helps seniors choose a nutritionally balanced diet (for their specific medical conditions, weight, mobility, circumstances, etc.), while monitoring their food preferences
- Volunteer time with homebound seniors who are lonely
- Special transportation to congregate meals
- Incentive programs for local restaurants to offer senior discounted meals in a festive, social setting
- A voucher system with restaurants

- Increased integration of congregate meal kitchens with the Meals-on-Wheels programs to effect the appropriate economies and avoid waste.

Some of these ideas may require improved food preparation and delivery services that will likely require retrofits at centers providing such programs. The overall concept of the model is to give seniors nutritious choices (with the emphasis on choice) that fit their palates and food (nutrition) needs every day while also paying attention to opportunities for increasing social contact.

Recommendation 14: CSS/AAA should work with its CBOs to ensure there is adequate oversight of the meal programs by nutritionists but minimize the current amount of duplicated efforts – by the CBOs and by CSS/AAA.

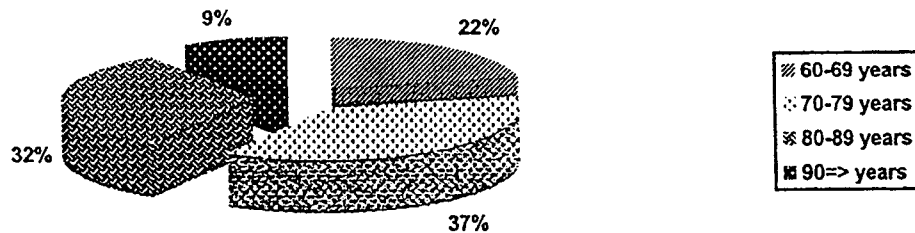
CSS, CBOs, cities, and the senior sites pride themselves on their health and safety standards and track record, including “A” ratings by the County’s Public Health Unit in the Department of Health Services. The Federal and State rules require that CSS dietitians review the menus being offered by the service providers. Some service providers also have dietitians on staff for their own internal quality assurance, resulting in duplication of such expertise. During our interviews, CBOs identified this issue as one that could result in time and cost savings by reducing the dual-levels of dietary oversight. Consequently, CSS should work with the involved Federal and State agencies to see if such redundancies can be minimized without compromising the health, nutrition, and safety of seniors.

Effective Nutritional Health Assessments and Networks of Care for the Elderly (ENHANCE)

ENHANCE provides registered dietitians who administer nutrition screening, counseling, and intervention services at congregate meal sites or homes of older adults. One CBO, Food Nutrition Management Services, provides this service. The goal of the program is to identify, prevent, and treat nutrition related health problems for older persons.

- Age 60 is the only criterion for eligibility. In FY2001-2002, 987 seniors received one-on-one consultation; 262 preventive clinics were offered to 6,526 participants. ENHANCE receives referrals through the congregate and home-delivered meal programs and ICM. The majority of clients are ages 70-79 (37%), followed by 80-89 (32%), 60-69 (22%), and the remaining 9% were 90 years old and above, as displayed in Exhibit 8.

EXHIBIT 8
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
ENHANCE CLIENTS, BY AGE GROUPING



Source: Compiled from data collected from CSS

- The nutritional levels of participating seniors improved. Each client is given a Nutrition Screening Initiative test. Those who score 6 or above are considered to be at high risk for nutrition-based illnesses. The average score for the seniors receiving consultations (987 seniors) was 10.6. Nutritionists provided follow-up visits with 41% or 404 of these clients. The follow-up risk score was 8.9, a decrease of 16%.
- The nutritional levels of congregate meals, home-delivered meals, and ICM clients are tracked. On the basis of the findings of the ENHANCE Program and the clients served during the FY2001-2002 year, congregate meal participants had the lowest average scores, followed by home-delivered meal clients and then ICM clients.
- The Older Americans Act (OAA) funds ENHANCE. Funding is provided through OAA's Title III-D – Disease Prevention/Health Promotion. The total budget was \$528,816, of which \$410,015 was Federal and State funds.

Senior Community Senior Employment Program (SCSEP)

As part of the Federal Older Americans Act and Public Law 89-73, the Senior Community Senior Employment Program (SCSEP) promotes training opportunities in community service employment for older workers and assists in the transition to other job placements.

- The criteria for eligibility are based on age and income. Los Angeles County residents, age 55 years and older with an annual income no greater than 125% above the poverty level, are eligible. 5% or 50,005 of the County's seniors live at the poverty level. Although the Federal and State government has no time

limits for the program, CSS has implemented a two-year duration policy to help meet the growing demand for SCSEP.

- Although not widely advertised, interest in the program is growing among seniors. For FY2003, CSS/AAA is authorized a maximum of 275 enrollees. As of February 2003, 232 enrollees have been served (year-to-date). Approximately 300 seniors are on the waiting list. Exhibit 9 displays the increased interest in the Senior Employment Program over FY2002.

EXHIBIT 9
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
SENIOR EMPLOYMENT PROGRAM APPLICANT STATISTICS
(JULY 2001 THROUGH DECEMBER 2002 FOR FY2002 AND FY2003)

Seniors	FY2002		FY2003			CHANGE	
	7/01-6/02	AVERAGE MONTHLY	YTD (DEC.)	PROJECTED YEARLY	AVERAGE MONTHLY	CLIENTS	+/-
APPLICANTS	434	36.2	306	612	51.0	178	41%
ENROLLEES ²¹	198	16.5	232	275	22.9	77	39%
PLACEMENTS	76	6.3	48	96	8.0	20	26%

Source: Compiled from data collected from CSS

- Funds cover the wages for seniors to work at nonprofit and government host agencies. CSS/AAA receives \$1.8 million from Title V Employment Services, which are administered through the California Department of Aging, and supplemented with State funds. The budget for the Senior Employment Program is \$2.44 million. CSS uses available funds to pay the mandated minimum wages for senior workers at 110 nonprofit and government host agencies.

During FY2000-2001, CSS did not receive supplemental funding from the State in time to meet the California minimum wage requirements, so the program was frozen in terms of bringing in new enrollees until funds were freed.

Recommendation 15: Although CSS/AAA meets or exceeds Federal Government targets, it should advocate for a redesign of the Senior Employment Program to benefit more seniors more cost-effectively.

The Federal Government requires that 25% of the authorized enrollees be placed in permanent work sites. For the County of Los Angeles, this requirement translates into 69 placements per year. During FY2002, CSS/AAA placed 76 seniors, exceeding the Federal requirement. These numbers seem particularly small, however, when compared to the statement in the Senior Employment Program's brochure: "The nearly

²¹ Authorized maximum.

two million people age 55 and older living in Los Angeles County are a tremendous resource to the community."

As an investment in improving seniors' employability and employment opportunities, this \$2.44 million program is extremely costly, given the small number of seniors benefiting. On average, the per-unit costs are:

- \$12,365 per enrollee per year (Assuming they earn minimum wage and work 4 hours per week for a year, the base cost of the enrollee is \$7,020.)
- \$32,214 per placement – comparable to the annual cost of tuition at a four-year, private university.

Although restricted by the Federal Government regarding program design features, the County should explore more innovative approaches with the Federal and State governments for using these dollars to reach larger numbers of seniors at a reduced cost. For example, CSS/AAA could establish a pilot initiative that involves partnerships with community colleges to customize vocational education programs for seniors. The recruitment of more employers, representing both the public and private sectors and who are willing to match dollars and invest in training for seniors, should also be explored.

Recommendation 16: CSS should improve its record-keeping and monitoring of Senior Employment Program enrollees.

Several problems pertaining to the record keeping and monitoring of the Senior Employment Program were identified:

- CSS/AAA has been tracking senior employees' timesheets in pencil. In the past, these manual timesheets were kept in a log although a CSS/AAA computer administrator is currently inputting the information.
- More than 60 seniors – more than 25% of the enrollees – have been enrolled with the program for at least two years. This violates CSS's time restriction for participation. These individuals are taking up allotments that could benefit new enrollees. (CSS/AAA reported that they recently focused on this problem and had eliminated enrollees who had been in the programs for 10 or more years.)
- Enrollees work part-time – 4-hour days, 5 days a week – and receive sick time and annual leave. In a sample review of 10 enrollees, eight were still enrolled, and their average sick leave taken during the calendar year was 50 hours, indicating an absentee rate of more than 12 days per year. CSS/AAA does not have intervention programs to determine the cause for such high absentee rates.

Adult Protective Services (APS)

The Adult Protective Services (APS) program is a State-mandated Title XX program, which investigates all situations involving any person(s) reported to be endangered by physical, financial, or sexual abuse; abandonment; isolation; abduction; or neglect or self-neglect. This year, APS is launching emergency shelters by contracting with a network of providers.

- Criteria for eligibility are based on age (any senior age 65 or older) and dependent adults (ages 18 to 64). The total County population meeting these criteria is approximately 920,000.
- 2% of the total eligible population uses this service; of this eligible population, 70% are seniors. In FY2001-2002 APS had a client caseload of 14,648, of whom 10,244 were seniors.
- This State-funded program covers a variety of services, including CSS social workers for the seniors. CSS/APS receives \$27.7 million dollars from the State of California through the County Department of Public Social Services (DPSS) as an intra-fund transfer. There are 12 district offices throughout the County and CSS has more than 230 people assigned to the various APS programs, the majority of which are social workers.

The average cost for services to an APS client is \$1,894. Approximately 22% of new cases are closed in the same month. Close to 50% of all cases are closed in two months. Criteria for closing a case include: providing proper services to the client, a clearly defined decrease in risk to the senior, or assignment of the case to an appropriate agency. The average caseload is approximately 18.1 clients per social worker per month. The CSS/APS social workers are required to make a minimum of one visit or phone call per month to the client.

Recommendation 17: CSS should continue to strengthen the linkages between APS and AAA.

APS accounts for approximately one-half of the funds available for senior services. It has a more integrated reporting system but the linkages with CSS/AAA are not well defined.

- APS and AAA programs and services are not well integrated. APS services are critical to those they serve; however, this program is considered a separate entity within CSS and separate from AAA. Because of different funding sources and different responsibilities, APS has different salary structures, a separate computer system, and different reporting methods than AAA programs. The

most obvious difference is the staffing. APS has its own in-house staff; in contrast, AAA contracts out almost all its programs. This often leads to separate planning and implementation methods for APS and AAA. CSS does have plans for an integrated computer system. CSS should carefully evaluate how the two programs can complement each other and strengthen the overall goal of the senior programs.

- APS and ICM linkages are stronger but still not optimal. APS and AAA programs do intersect within the ICM Program, which – as already discussed – blends different programs and funding sources to provide a more holistic program for seniors in need. On the basis of APS clients served within the ICM program (18 percent of the total number of clients), APS provides 38% of the ICM funding. APS clients tend to be needier and more complex, resulting in a higher cost per APS client. APS stated that there is no specific number of clients to be referred to the ICM program. The cost per client is considerably higher for APS than the AAA programs that contribute to ICM as well. Considering the size of APS's budget versus all other AAA budgets, there is an opportunity for an expanded role in funding and service delivery by APS in joint programs with AAA.

APS'S Inter-Agency Elder Abuse Prevention Programs

The purpose of the Inter-Agency Elder Abuse Prevention Program is to assist in the prevention of elder abuse and to help prevent loss of financial or physically independent living for seniors.

- The criteria for eligibility are the same as the other APS programs, except for GENESIS, which requires clients to be age 60 or older. For all programs, except GENESIS, eligibility is open to Los Angeles County residents, who are APS recipients and at least 65 years of age or dependent adults who are between the ages of 18 and 64 years.

Because of the complexity of elder abuse, CSS/APS has five inter-agency agreements with other County departments to address this issue.

- District Attorney – Elder Abuse Prosecution Support Program: In coordination with CSS/APS, the District Attorney's Office provides the investigative and prosecutorial resources to protect the senior population from abuse, including: a) consulting with APS and other County and municipal law enforcement agencies on case prosecution and preparation, and b) developing procedures for victim preparation in courtrooms.
- Consumer Affairs – APS/Fraud Protection Program: In coordination with CSS/APS, Consumer Affairs provides fraud prevention services to APS clients whose financial safety and protection would be jeopardized. Consumer Affairs provides problem assessment and evaluation, counseling, information and

assistance, consumer complaint investigations, and training to APS staff in common consumer real estate and financial fraud methods.

- **Mental Health – Geriatric Evaluation Networks Encompassing Services, Information, and Support (GENESIS) Program:** In coordination with CSS/APS, the GENESIS Program provides geriatric-psychiatric and health assessments for APS clients 60 years and older, who exhibit mental health problems or symptoms and appear to jeopardize their safety or the safety of others. The Department of Mental Health provides mobile mental health, health screening and comprehensive assessment services for APS referred clients.
- **Department of Mental Health – Public Guardian – Enhancement Program:** In coordination with CSS/APS, the Public Guardian's Office provides probate conservatorship investigation services to clients, including those with dementia, who are referred to that office by APS or indirectly through the GENESIS Program.
- **Department of Health Services (DHS) – Services Intervention Program:** In coordination with APS, DHS provides a hospital-based elder/dependent adult abuse assessment and intervention program at Los Angeles County-University of Southern California (LAC-USC) Medical Center and Martin Luther King-Charles Drew (King-Drew) Medical Center. Services include medical treatment, forensic services, discharge planning care, community outreach, home health services, and community-based medical assessments to maximize the safety of victims of elder abuse. The program is an expansion of two independent programs, already in existence at the two medical centers.

An overview of the funding sources, criteria for eligibility, population served, and outcomes conveys the complexity of such collaborative arrangements:

- CSS/APS distributes a total of \$2.27 million to four County departments: District Attorney (\$344,000), DHS (\$912,000), Mental Health (\$852,000 – GENESIS and Enhancement), and Consumer Affairs (\$162,000). During FY2003, funds have been significantly reduced for the District Attorney's Office and Mental Health – their budgets are now \$150,000 and \$200,000 respectively.

Recommendation 18: CSS/APS should evaluate the cost-effectiveness of County inter-agency programs with an aim to improving their efficiency.

In comparison to the County's senior population, only a small number of senior residents receive APS services. According to CSS/APS monthly reports, the breakdown of the number of seniors served is as follows:

- District Attorney – The District Attorney visits and provides training sessions to police bureaus, and handles cases on elder abuse, as highlighted in Exhibit 10.

EXHIBIT 10
COUNTY OF LOS ANGELES
DISTRICT ATTORNEY'S APS WORKLOAD INDICATORS

WORKLOAD INDICATORS	PER MONTH
Training sessions for law enforcement staff	2 sessions
Trainees attending above training sessions	32 trainees
New cases involving elder and dependent abuse	10 new cases
Cases filed involving elder and dependent abuse	3 cases filed
Visits to law enforcement agencies regarding elder and dependent adults	5 visits

Source: Compiled from data collected from CSS

- Consumer Affairs – The Fraud Protection program assesses 172 new clients per year, an average of 14.3 clients per month; 142 investigations were completed and closed during the same time period. The average cost per client is \$942. In addition, 6,814 Tip Sheets – information fliers designed to inform seniors of different types of consumer fraud – were distributed during FY2001-2002.
- Within Mental Health, the Public Guardian – Enhancement Program received only 7 to 10 referrals per month for client services during FY2001-2002. In at least one case, a client's assets were frozen pending the outcome of the investigation. GENESIS receives approximately 303 referrals per year or 25 per month. Overall, the average cost is approximately \$640 per referral for Mental Health.
- At the Department of Health Services (DHS), service levels and workload vary between LAC-USC Medical Center and King-Drew Medical, as shown in Exhibit 11.

EXHIBIT 11
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
DHS APS SERVICES, BY MEDICAL CENTER
(FY2001-2002)

APS-RELATED SERVICES	LAC-USC MEDICAL CENTER	King-Drew MEDICAL CENTER
Number of referrals	182 or 15.1 per month	319 or 26.5 per month
Physical assessments	1,681	1,246
Mental health assessments	549	517
Counseling information and referrals	4,190	131

Source: Compiled from data collected from CSS

Consistent with this recommendation is the need for inter-agency APS agreements that focus on clearly defined, meaningful workload and outcome measurements. The inter-agency agreements that set the parameters for these programs are for the most part loosely defined in terms of specific targets and outcomes. The targets that are set are often minimal compared to the funds provided the partner agency. The District Attorney's Agreement (for \$344,000) established a target of 15 site visits to local law enforcement stations during the fiscal year, but the DA's Office averages 5 visits per month.

In contrast, the DHS Agreement (for \$915,000) established 27 points of service delivery, and has no quantitative targets. This partially accounts for the discrepancy in clients between the two medical centers. Originally, this agreement focused on DHS serving APS clients through outreach via in-home physical assessments. Since then, it has become an effort to identify eligible APS clients from the patient population before they are released from the medical centers; approximately 10% of those screened are referred to APS.

The required monthly reports for these programs have the ability to be very productive and efficient in capturing the various agencies involved in the identification, investigation, prevention, and eradication of senior abuse. APS does not use the reports for assessments. When assessed, however, the reports reveal discrepancies; for example:

- The Consumer Affairs reports were only partially completed. In addition, the number of fliers passed out in a given month was the same for five months in a row without indicating where the fliers were passed out.
- The GENESIS reports from the Department of Mental Health only cite the names of persons referred to the GENESIS program; there is no other information on the follow-up status or why the individuals were referred.

APS'S Fiduciary Abuse Specialist Team (FAST)

Part of the Elder Abuse Program of APS, FAST is a multi-disciplinary team created to assist APS and the Long-Term Care Ombudsman staff in the investigation, resolution, and prevention of cases of elder financial abuse. Professionals from the public and private sectors meet monthly through the coordination of WISE Senior Services in conjunction with CSS/APS.

- The FAST criteria for eligibility are similar to the other APS programs. Any APS client who may need financial assistance and intervention from abuse or fraud is eligible. An APS client must be a dependent adult, between the ages of 18 and 64 years, or a senior, 65 years of age or older.

Approximately 24 case consultations occur each year; 1,725 seniors and caregivers attend information sessions on fiduciary abuse. Two new cases are brought to the FAST panel every month the FAST team meets; 12 case consultations occurred during FY2001-2002. The District Attorney's office is required to send staff to attend the monthly FAST meetings but a Consumer Affairs (Fraud Prevention Program) representative is not required to attend.

- More than 1,725 seniors and caregivers received information on fiduciary abuse in public forums or at senior fairs. Volunteers (often attorneys) provide emergency telephone consultations at a maximum of two phone consultations per month per volunteer. FAST conducted 5 educational presentations on elder abuse for professionals at conferences.
- FAST is funded through Title VII of the Older Americans Act (OAA). FAST is funded from the Elder Abuse program, which received \$103,959 in FY2002

Recommendation 19: The Fiduciary Abuse Specialist Team (FAST) makes good use of volunteers, including attorneys, but more formal documentation of target service levels and expected outcomes should be defined.

Better collaboration of existing FAST services and tracking of clients and services provided are needed. FAST uses the services of many attorneys working *pro bono* to assist and resolve fiduciary cases. In 1994, FAST received the Los Angeles County Quality and Productivity Grand Prize. How this program is used in conjunction with the other APS fraud programs is not clearly articulated, however.

In addition, APS does not collect information on the FAST cases. There are no formal reporting requirements although APS is a primary participant in the program. Because of the informal nature of the arrangement with WISE Senior Services, it is not clear what the budget is for FAST as opposed to the other Elder Abuse programs undertaken with the funds provided.

A better tracking system of clients and services provided as well as improved management and coordination of existing resources would allow CSS to expand the client base.

Elder Abuse and Ombudsman

The Ombudsman program receives, investigates, and resolves complaints made by or on behalf of residents of long-term care facilities. This is done through regular facility visits, identifying and investigating complaints, and making appropriate referrals. The Ombudsman program also provides advocacy and education of seniors through community meetings and in-house staff presentations. The Elder Abuse program improves the protection of older persons who are in danger of abuse and neglect through education and outreach. The Elder Abuse program also coordinates FAST.

Both programs – FAST and Elder Abuse/Ombudsman – are contracted out to Wise Senior Services, which is the sole licensed provider for Ombudsman programs in the County, including the City of Los Angeles. WISE has nine regional offices throughout the County and each office has a staff of three plus volunteers. In total, 180 volunteers work in these programs.

- Criteria for eligibility differ for the Ombudsman Program versus the Elder Abuse Program. For the Ombudsman Program, the client is a nursing home or relative or assistant to someone in a nursing home; in contrast; the Elder Abuse Program targets seniors 60 years or older.
- The Ombudsman Program clients are residents of skilled nursing facilities in the County of Los Angeles. Two months of data were analyzed for July 2001 and November 2001 to obtain a perspective on the number of clients served, and are displayed in Exhibit 12.

EXHIBIT 12
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
OMBUDSMAN PROGRAM WORKLOAD INDICATORS
(JULY 2001 AND NOVEMBER 2001)

WORKLOAD INDICATORS	JULY 2001	NOVEMBER 2001	ANNUAL (PRORATED)
Cases opened	496	519	6,090
Cases closed	434	463	5,382
Complaints received	643	800	8,658

Source: Compiled from data collected from CSS

The Elder Abuse program is integrally tied to the FAST program – its outcomes are listed under FAST as well (e.g., 2 Senior Action Fairs, 1 public forum for 1,725 seniors and caregivers; 5 educational presentations on elder abuse at professional conferences).

- Multiple funding sources are used for these programs. The Ombudsman Program received OAA's Title III-B and Title VII-A funds of \$1,126,592, of which \$984,109 were Federal funds. The Elder Abuse program received Title VII-B funding of \$100,291, of which Federal funds comprised \$85,845. The Elder Abuse program is contracted out to provide 2,770 hours of services at an hourly rate of \$37.53.

Recommendation 20: CSS should more closely monitor the outcomes of the Ombudsman and Elder Abuse Programs.

In the Ombudsman Program, cases closed are a subset of complaints received for the month; however, it is unclear from a review of the contract files, how many of the cases opened come from that month's complaints as well. Using the data from the two months (July 2001 and November 2001), pro-rated yearly figures were calculated and are displayed in the prior Exhibit 12. On the basis of these prorated data, the following assumptions are posed:

- An average of 62% of the complaints each month are closed at the end of the same month. (A closed case can mean case resolved, referred to another agency, insufficient information, etc.)
- Well-being, Independence, Self-esteem, and Education (WISE) program receives 24 complaints each day from nursing homes across the County.

According to WISE's compilation of complaints for July 2001 and based on a total of 636 complaints, the types of complaints were primarily about the care of the resident, followed by the environment and autonomy or choice issues, as highlighted in Exhibit 13.

EXHIBIT 13
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
TYPES OF SENIOR COMPLAINTS VIA THE OMBUDSMAN PROGRAM
(JULY 2001)

TYPES OF COMPLAINTS	PERCENT
Care of resident – request for assistance, medications assistance, hygiene issues	26%
Environment – cleanliness, temperature, maintenance of equipment	15%
Autonomy or choice issues	12%
Dietary issues, such as menus	8%
Staffing issues	7%
Financial or property issues, such as billings (but not financial abuse)	6%
Other complaints, such as admission or discharge, neglect, quality of life, access to information, etc.	25%

Source: Compiled from data collected from CSS

Several shortcomings were identified when reviewing CSS/AAA's files for their contract with the WISE Senior Services. For example, the contract monitoring report "Supportive Services Program Performance Test Work" was missing. In addition, the "Supportive Services Provider Performance Report" showed several problems in its data collection and it was unclear how this could be used to account for services provided. There is no section for the Ombudsman program. The Elder Abuse tabulation only registered budgeted monthly clients; no actual data were identified. CSS/AAA and CSS/APS confirm that Wise Senior Services is a qualified CBO and that Wise sends most of their analytical data directly to the State Ombudsman Office. Since

the funding comes through CSS, however, it is important that CSS knows what the program expenses and outcomes are.

Regarding the Elder Abuse program, there is insufficient documentation of the outcome of the program or the difference between the Elder Abuse advocacy and the FAST programs to make an evaluation.

Supportive Services

The County's Support Services program is one of the largest in the nation. It provides seniors and caregivers assistance with many of the day-to-day routines of daily living, allowing seniors to maintain or improve the quality of life in their own home.

- The primary criterion for eligibility is age 60 years or older. Clients receiving Telephone Reassurance must be homebound.
- The Supportive Services provided are broad and varied, involving:
 - Personal Care – provides for assistance with bathing dressing, grooming, feeding, and toileting
 - Housekeeping – provides assistance with housework such as laundry, shopping etc.
 - Respite Services – provides temporary replacement for the caregiver
 - In-Home Registry –screens and matches in-home workers with functionally impaired older persons
 - Legal Assistance – assists seniors with legal needs, such as housing, estate, or financial documents
 - Minor Home Modification – offers one-time assistance to install access devices to help with mobility of daily tasks, i.e. hand bars for bathtub, widening of doorways, new shelving, etc.
 - Telephone Reassurance – phone calls placed to those receiving home-delivered meals (and those on the waiting list) to ensure their safety
- Because of the nature of the referral services, larger numbers of seniors can be served. CSS/AAA contracts with 34 CBOs Countywide for Supportive Services. Because of reporting deficiencies, client caseload information is limited to the following:
 - Personal Care – 1,346 clients per year
 - Housekeeping – 2,126 clients per year
 - Minor Home Modification – 294 clients per year
 - Legal Assistance – 1,194 clients
 - In-Home Registry – 5,762 client referrals²²

²² Source: SPR Annual Report of FY2002; CSS In-Home Services Summary Report on Referral Activity.

- Two funding sources are used for Supportive Services, namely, 1) OAA Title III B Support Services – Total Budget of \$3.88 million and 2) Title III-E Family Caregiver Total Budget of \$130,000. Funding from Family Caregiver funds supports the Personal Care, Respite, and In-Home Registry services. Federal and State funding for the indicated Title III-B programs is \$2.34 million or 60% of the overall budget.

Recommendation 21: CSS/AAA should clearly link Supportive Services' budgeted dollars with service levels.

Because CBOs provide these Supportive Services, CSS/AAA has established set rates, as shown in Exhibit 14.

EXHIBIT 14
COUNTY OF LOS ANGELES, COMMUNITY AND SENIOR SERVICES:
SUPPORTIVE SERVICES UNIT RATES AND CLIENTS SERVED
(FEDERAL AND STATE ONLY FOR FY2001-2002)

SUPPORTIVE SERVICE	UNIT RATES	CLIENTS SERVED
Personal Care, Housekeeping, Respite	\$12.70/hour	1,346
Legal Assistance	\$28/hour	1,194
Telephone Reassurance	\$1.90/call	N/A
Minor Home Modification	\$185/client	94

CSS should apply the unit rates and the clientele numbers (Columns 2 and 3 in Exhibit 14 above) to compute the calculated costs vis-à-vis the budgeted amounts.

Without detailed program budgets, the cost per client per service is difficult to estimate. According to the Federal budget reports, the Personal Care budget, which includes Respite Services, is \$1.4 million or (\$991,890 in Federal dollars only). It is unclear, however, if the client caseload count of 1,346 (which comes from a different report) represents the combination of Personal Care and Respite Services. A similar situation occurs with the Housekeeping and Registry, where there is also a combined budget but two separate client counts, making it difficult to extrapolate the true cost of the program.

The report that is used to track the clients for Supportive Services is not considered to be accurate by CSS/AAA staff. Yet it is the only report that furnishes yearly client data. This situation inhibits CSS/AAA from knowing how many clients are being served for policy planning purposes. Even when factoring in the budget, the hourly rate, and clients served (where numbers are available), it is difficult to gauge the level of service for the programs.

A review of the budgets for these programs and actual expenditures reveals a trend of under spending. In the area of Personal Care alone, a surplus of \$273,965 was

left over at the end of the Fiscal Year. In total, there was a surplus of \$379,425 from the Supportive Service programs in FY2001-2002.

CSS/AAA identified problem areas in the Supportive Services model and is currently implementing a new approach in its most recent RFP process for the home-based care program, which will give the CBOs more flexibility in spending dollars to better meet client needs.

Alzheimer's Day Care Resource Centers (ADCRC)

Patients with the Alzheimer's disease can attend one of the County's 7 Alzheimer's Day Care Resource Centers (ADCRCs) where activities and meals are provided during the day. Centers are open at least 3 times a week and most clients come every day the centers are open.

- The criterion for eligibility is being a County resident with Alzheimer's disease or related dementia.
- Although a small number of individuals with Alzheimer's disease or related dementia are served, the ADCRCs benefit from many volunteer hours. Persons assisted (unduplicated) in FY2002 numbered 357 with 15,224 volunteer hours logged. In addition, CSS/AAA logged 304 hours for volunteers attending in-service training sessions, 73 hours in on-site training sessions conducted, and 214 hours in caregiver support sessions.
- ADCRCs supplement the County funding of \$0.5 million with additional fund-raising activities totaling \$1.1 million. The State General Fund provides funding of \$526,928 through the Community Based Service Provider (CBSP) Program. CSS/AAA provides approximately \$80,000 to each CBO for the program. The CBOs raise additional funds, including donations, for an additional \$1,119,937, bringing the total expenditures to \$1.65 million dollars in FY2002.²³ The Alzheimer's Program also receives some funds from Title III-B – Supportive Services (\$56,220) and Title III-E – Family Caregiver (\$80,000) to offer such services where applicable. *The average cost per Alzheimer's client is \$4,613 per year, based on the total budget.*

Recommendation 22: CSS should assess potential need and locations for ADCRCs.

ADCRC is a relatively new program in uncharted territory. CSS should monitor and identify, by SPA:

1. The size of the population that may be in need of such services

²³ The CSS budget did not identify other funding sources. (Source: Compiled from data collected from Community and Senior Services (CSS), County of Los Angeles, FY 2001-2002 Budget and Expenditure Reports.)

2. The optimal number of such centers to meet the needs.
3. Optimal geographic location of the centers.

On the basis of this needs assessment, CSS can justify and seek the additional funding based on senior demographics and needs.

Family Caregiver—Caregiver Support Services National Family Caregiver Support Act

Title III-E funds support existing programs and services in CSS/AAA, such as Title III-B for Respite, Registry, Personal Care; ADCRC; and ICM, and provide eligibility for caregivers. In addition, CSS offers new Family Caregiver Supportive Services: a) community education and outreach and b) caregiver support in terms of counseling, training, and support group access.

- Criteria for eligibility have been broadened. Two types of individuals are eligible: 1) caregivers of any age who care for frail adults aged 60 and over (family caregivers) and 2) older adult caregivers (age 60+) of minor children, who are 18 and under (relative caregivers).
- Because of the newness of the program, data are only available on the population served for the third quarter but covers the entire III-E Family Caregiver program. These data require some further analysis on the part of CSS to ensure their validity.
- Funding Sources: The total budget from the Older American Act Title III-E – Family Caregiver Act was \$4.2 million with a Federal budget of \$3.0 million. Family Caregiver Support Services alone had a budget of \$.5 million in FY2001-2002; such funding was received in the middle of the FY2001-2002 fiscal year. Full year implementation will occur in FY2002-2003.

Recommendation 23: CSS/AAA should design an evaluation tool to assess outcomes of the Family Caregiver Program over time, ensuring reliable data and better tracking.

The Supportive Services area of the Family Caregiver Program cannot be assessed due to the short time the program has been in operation. CSS/AAA, however, should consider designing an evaluation tool that assesses the strength of the entire Family Caregiver Program. Title III-E funds are provided to ICM, Respite, Registry, ADCRC, Personal Care, and Senior Centers, yet there is no yearly data identified that targets the units of service provided by these funds. Particularly because Title III-B provides funding to these same programs as well, a more comprehensive understanding of clients, units of service, and need is essential for the long-term development and accountability of the program.

Health Insurance Counseling and Advocacy Program (HICAP)

The Health Insurance Counseling and Advocacy Program (HICAP) provides education sessions to seniors through community presentations and senior center programs on Medicare, managed care, and other private health insurance issues. HICAP is conducted through one organization, the Center for Health Care Rights, which contracts with CSS/AAA.

- Medicare beneficiaries or individuals soon to be eligible for Medicare can take advantage of HICAP.
- Larger numbers of County seniors have attended counseling sessions and presentations, involving volunteer Registered Counselors. The number of persons counseled was 5,076; number of community presentations was 167; and number of attendees at presentations was 1,000 in FY2001-2002. One of the goals of the HICAP program is to recruit, train, and support volunteers to become health insurance counselors. CSS/AAA does not allow anyone to counsel on health insurance issues unless the person has registered with the California Department of Aging (CDA). To this extent, there were an average of 40 Registered Counselors during the FY2001-2002 period.
- Funding for this program comes from the State with some supplement private funding. The State General Fund provides funding through the Community Based Service Provider (CBSP) Program. The total Budget is \$586,082, including private funding of \$80,000.

Recommendation 24: The HICAP requires better information to track service levels, number of clients, and per-unit costs to set proper goals and budgets.

The average cost per counseled client is \$115 per year; however, the cost of presentations is unknown. Due to the minimal amount of reporting data, it is not clear whether these clients were counseled on an individual basis or as part of a group training session. Moreover, reports do not describe how services are being delivered. On the basis of the number of presentations (167), and the number of attendees, (1000), the average number of attendees was 6 per presentation. Further information is needed to assess the effectiveness of this program.

Recommendations – Summary

General Recommendations

1. The Community and Senior Services Department should move from planning to implementation of their *Long-Term Care Strategic Plan*. An outside agency should monitor this transition and progress.
2. The County should ensure its strategies address the full extent of County seniors' needs.
3. Community and Senior Services/Area Agency on Aging must take the lead to ensure effective coordination of services to deliver senior services via CSS's strategic collaborative departmental approach.
4. Given its recently adopted *Long-Term Care Strategic Plan*, CSS/AAA is in a period of transition and CSS should develop a funding strategy.
5. CSS should restructure itself to support the SPA framework.
6. The Board of Supervisors should lobby for an overhaul of the funding categories developed at the State and Federal levels.
7. CSS/AAA should continue to build on the Integrated Care Management experience to implement innovations in other program areas.
8. Formal communication channels should be developed and implemented for CSS internal mid-management.

Fiscal

9. CSS/AAA should develop more sophisticated systems and staff capabilities to manage and monitor program funding.

Provider Relations, Contract Monitoring, and Outcome Measurements

10. CSS/AAA and CSS/APS should continue to develop a more qualitative and quantitative approach to tracking, managing, and measuring program and population-based outcomes.

Integrated Care Management

11. CSS/AAA should enhance management oversight for ICM to ensure cohesive implementation, monitoring, and program coordination.

Congregate Meals and Home-delivered Meals

12. CSS/AAA should monitor its meal-related budgets more closely to ensure that it is taking advantage of all available monies.
13. Working with the CBOs for meals, CSS/AAA should develop a new model for food services that permits greater flexibility to meet the needs of the seniors in the diverse communities of Los Angeles County.
14. CSS/AAA should work with its CBOs to ensure there is adequate oversight of the meal programs by nutritionists but minimize the current amount of duplicated efforts – by the CBOs and by CSS/AAA.

Senior Community Senior Employment Program (SCSEP)

15. Although CSS/AAA meets or exceeds Federal Government targets, it should advocate for a redesign of the Senior Employment Program to benefit more seniors more cost-effectively.
16. CSS should improve its record-keeping and monitoring of Senior Employment Program enrollees.

Adult Protective Services

17. CSS should continue to strengthen the linkages between APS and AAA.

APS'S Inter-Agency Elder Abuse Prevention Programs

18. CSS/APS should evaluate the cost-effectiveness of County inter-agency programs with an aim to improving their efficiency.

APS'S Fiduciary Abuse Specialist Team (FAST)

19. The Fiduciary Abuse Specialist Team (FAST) makes good use of volunteers, including attorneys, but more formal documentation of target service levels and expected outcomes should be defined.

Elder Abuse and Ombudsman

20. CSS should more closely monitor the outcomes of the Ombudsman and Elder Abuse Programs.

Supportive Services

21. CSS/AAA should clearly link Supportive Services' budgeted dollars with service levels.

Alzheimer's Day Care Resource Centers (ADCRC)

22. CSS should assess potential need and locations for ADCRCs.

Family Caregiver—Caregiver Support Services National Family Caregiver Support Act

23. CSS/AAA should design an evaluation tool to assess outcomes of the Family Caregiver Program over time, ensuring reliable data and better tracking.

Health Insurance Counseling and Advocacy Program (HICAP)

24. The HICAP requires better information to track service levels, number of clients, and per-unit costs to set proper goals and budgets.

Survey Findings

This investigation involved extensive surveys and site visits to solicit first-hand information about senior issues. This information has been supplemented by the traditional fact-finding methods (management interviews, document reviews) of management audits. These large-scale data-gathering efforts involved:

- Surveys sent to 17,000 stratified, randomly selected seniors in the County. 2600 responses were received.
- More than 1,700 seniors who are current users of CSS/AAA services,
- 51 city leaders regarding seniors' needs and services
- 15 site visits to review various programs

These surveys and site visits resulted in useful findings that should benefit the County, CSS/AAA, CSS/APS, involved CBOs, and others involved with seniors (such as AARP and other advocacy groups) in understanding seniors' needs and concerns in the County of Los Angeles.

Senior Survey of the General Population

This survey reflects the views of the general senior population of the County of Los Angeles because 17,000 households were randomly selected from a database of households with seniors residing, stratified by zip code. This sample size is 17,000 or .7% of the senior population (age 55 and older). The response rate of more than 2,600 or 15% is sizable, thereby indicating the level of interests of County seniors in the survey. All 17,000 households received two versions of the survey – one in English and another in Spanish. Addressed and postage paid envelopes were also enclosed for their convenience. A number of seniors called in their responses. The identities of all participating seniors have remained confidential.

Overview of Survey Respondents – County Seniors

Overall, 66% of the survey respondents were in the 60-to-75 year old age range. An additional 31% indicated they were in the 76-or-older age range. 5% of the respondents were adult relative caretakers; 4% were paid caretakers; and 3% were concerned individuals. Respondents were nearly equally divided between males and females, 48% and 52%, respectively.

As shown in Exhibit 15, survey respondents were typically: 60-to-75 years old, living with family or friends, physically and economically independent, and not dependent on public assistance for housing or food. *61% reported they required no public assistance*, with approximately one-third (30%) indicating they required medical assistance.

Exhibit 15
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION:
Profile of Survey Respondents

SURVEY ITEM	NUMBER OF RESPONDENTS	PERCENT OF RESPONDENTS
CURRENT LIVING ARRANGEMENTS		
A senior living alone	898	36%
A senior living with a spouse, significant other, children, grandchildren, relatives, or friends	1,544	62%
A senior living in a retirement community or assisted living arrangement	39	2%
DAILY LIVING NEEDS		
Needs <u>no</u> assistance. Is independent.	1,701	69%
Requires <u>some</u> assistance with laundry or light housework, preparing meals, using the telephone, shopping, driving, or moving about outside.	631	26%
Requires <u>significant</u> assistance in eating, bathing, getting in/out of bed/chair, getting to the bathroom on time, managing medications, or dressing/undressing.	121	5%
HOUSEHOLD INCOME		
The senior's household income adequately covers <u>all</u> needs.	1,042	41%
The senior's household income covers <u>most</u> needs.	962	38%
The senior's household income covers <u>some</u> needs.	525	21%

Survey respondents' primary ethnicity generally reflected the senior population in the County's unincorporated and incorporated areas²⁴. As compared with the general population, White/Caucasians and Black/African Americans were slightly over-represented, while Hispanic/Latinos and Asian/Pacific Islanders were slightly under-represented, as displayed in Exhibit 16.

²⁴ Excluding the City of Los Angeles.

EXHIBIT 16
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION:
SURVEY RESPONDENTS BY ETHNICITY (TOTAL = 2,601)

ETHNICITY	SURVEY RESPONDENTS	GENERAL SENIOR POPULATION	DIFFERENCE
Hispanic/Latino	11%	17%	-
Black/African American	9%	6%	+
White/Caucasian	69%	65%	+
Asian/Pacific Islander	8%	10%	-
Other, including American Indian, Alaskan/Aleut	3%	2%	=

Respondents indicated their area of residence in the County, aligned with the 8 SPAs. As indicated in Exhibit 17, 2 of the 8 SPAs had lower representative response rates: SPA 3 (San Gabriel Valley) and SPA 7 (East)); and, 2 had higher response rates: SPA 2 (SFV-Santa Clarita Valley) and SPA 5 (West) in comparison to the general senior population. The largest groups of respondents were from:

- SPA 2 (SFV-Santa Clarita Valley (498 respondents or 20%))
- SPA 3 (the San Gabriel Valley (565 respondents or 23%))
- SPA 8 (South Bay/Harbor area (533 respondents or 21% of the sample)).

EXHIBIT 17
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION:
SURVEY RESPONDENTS, BY SPA (TOTAL = 2,495)

COUNTY SPAS	Survey Respondents		GENERAL SENIOR POPULATION	
	NUMBER	PERCENT	PERCENT	DIFFERENCE
SPA 1 – Antelope Valley	92	4%	4%	=
SPA 2 – SFV-Santa Clarita Valley	498	20%	11%	+
SPA 3 – San Gabriel Valley	565	23%	31%	-
SPA 4 – Metro	58	2%	2%	=
SPA 5 – West	335	13%	5%	+
SPA 6 – South	99	4%	4%	=
SPA 7 – East	315	13%	20%	-
SPA 8 – South Bay/Harbor	533	21%	23%	=

Key Survey Findings

Seniors generally do not distinguish between senior services and programs offered by the County in unincorporated areas or by their local cities in incorporated

areas. Overall, senior survey respondents rate senior services as effective (54%) but are not aware of most senior services or programs. Fifty percent or more respondents were not aware of 9 of the 11 services offered through CSS funding. Of those aware of the services, 6 of the 11 services were rated as "Effective" or "Very Effective" by 50% or more of the survey respondents.

Senior respondents reported they were primarily aware of 2 of the 11 senior services: senior centers and recreational programs (78% awareness level) and group meals or home-delivered meals (70% awareness level), as listed in Exhibit 18.

Exhibit 18
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION:
SURVEY RESPONDENTS' EFFECTIVENESS AND AWARENESS RATINGS
OF SENIOR SERVICES AND PROGRAMS

SENIOR SERVICES	VERY EFFECTIVE/ EFFECTIVE	SOMEWHAT/ NOT EFFECTIVE	DON'T KNOW THIS SERVICE
Group meals or home-delivered meals	73%	28%	30%
Nutrition counseling	50%	50%	66%
Senior centers/recreational programs	76%	24%	22%
Adult day care of Alzheimer's day care centers	57%	43%	58%
Health insurance counseling	46%	55%	71%
Adult protective services to investigate physical abuse, neglect, self-neglect of financial abuse	46%	55%	60%
Job training and placement for seniors	40%	60%	72%
Care managers or social workers to assist in obtaining community resources	48%	52%	64%
Services for the hearing or visually impaired	53%	47%	60%
In-home care services (housekeeping, personal care)	62%	38%	54%
Help in finding in-home workers	45%	56%	71%
Senior Services and Programs Overall	54%	46%	

When asked how frequently they use various senior programs and services, two programs stood out: 1) group meals or home-delivered meals and 2) the senior centers

and recreational program, as shown in Exhibit 19. Between 87% and 96% of the respondents had never used 10 out of 11 of the senior programs and services.

EXHIBIT 19
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION:
FREQUENCY SURVEY RESPONDENTS USE SENIOR SERVICES AND PROGRAMS

SENIOR SERVICES	OFTEN (AT LEAST WEEKLY)	SOMETIMES/ RARELY*	NEVER
Group meals or home-delivered meals	4%	6%	90%
Nutrition counseling	2%	9%	89%
Senior centers/recreational programs	9%	23%	67%
Adult day care of Alzheimer's day care centers	1%	3%	96%
Health insurance counseling	2%	10%	87%
Adult protective services to investigate physical abuse, neglect, self-neglect of financial abuse	1%	4%	95%
Job training and placement for seniors	1%	3%	96%
Care managers or social workers to assist in obtaining community resources	2%	9%	89%
Services for the hearing or visually impaired	2%	8%	91%
In-home care services (housekeeping, personal care)	5%	7%	88%
Help in finding in-home workers	2%	7%	91%

* Rarely defined as "once a year".

Overall, 82% of respondents selected health care as their greatest concern for seniors in the coming ten years. Furthermore, the selection of healthcare was consistent across the various demographic factors, such as age, gender, or income level.

After healthcare, housing (including assisted living), in-home services (such as housekeeping, personal care), safety and security, and transportation were selected by 43% to 37% of respondents. Among the 8% who listed "other," survey respondents are also concerned about the cost of prescription drugs, the need for affordable housing, long-term care, and the gap between Social Security and the cost of living.

The favorite social or recreational programs reported by survey respondents are: field trips or travel (48%), exercise classes (41%), walking or hiking (27%), and plays, music programs, or other performances (27%). Twenty-one percent or fewer selected the other programs among their three favorite, including social activities (20%), volunteer programs (19%), games (19%), arts and crafts (18%), and book clubs (including reading groups, speaker programs, or lecture series) (17%). Among the 8% who listed "other," survey respondents also enjoy adult education, computers and

computer classes, attending religious gatherings and associated activities, fishing, sports (golf, swimming, skiing, tennis), spending time with their families, and watching movies and television.

Although survey respondents have mixed responses regarding the role of government in senior services, they agree on a number of senior policy issues.

Survey respondents were asked to respond to some key policy issues relating to government and seniors. They had divided opinions on one issue:

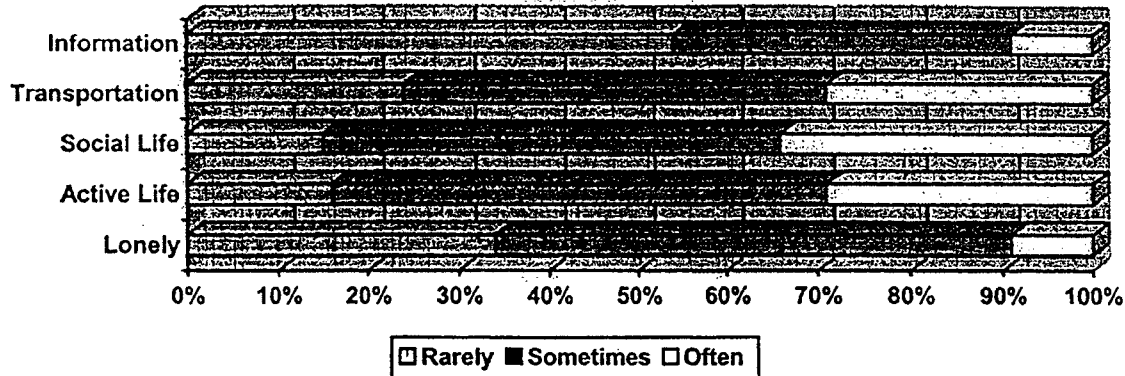
- Almost one-half of the senior stakeholders (49%) agree or somewhat agree that government services should only address basic needs (housing, food, medical) versus recreational or social needs of seniors. About 45% disagree or somewhat disagree with the same statement. (6% were undecided.)

Survey respondents, however, do share common viewpoints regarding these senior policy issues:

- The majority (79%) agree or somewhat agree that people should qualify for services based on their physical needs rather than when they reach a specific age.
- The majority agree or somewhat agree (58%) that, regardless of income, everyone should be entitled to services.
- The majority of survey respondents (62%) disagree or somewhat disagree that government should only help the poor and elderly.
- The majority (59%) disagree or somewhat disagree that the government should get out of the business of delivering services to seniors and offer tax credits to allow seniors to buy the services they need or want. While 30% agreed or somewhat agreed with this statement, another 11% were undecided.

Quality-of-life issues affect most seniors at least some of the time, as shown in Exhibit 20.

EXHIBIT 20
COUNTY OF LOS ANGELES, GENERAL SENIOR POPULATION
SENIOR QUALITY OF LIFE
(TOTAL = 2,476)



Legend:

Senior Information	=	Seniors have enough information about senior programs.
Transportation Difficulties	=	Seniors have difficulties arranging transportation.
Social Life	=	Seniors attend social or religious/spiritual gatherings.
Active Life	=	Seniors have a full and active life.
Lonely	=	Seniors feel lonely even when with other people.

The majority of respondents are affected by three out of five of these issues "Sometimes."

- Seniors feel lonely even when with other people (57%).
- Seniors have a full and active life (55%).
- Seniors attend social or religious/spiritual gatherings (51%).

There is mixed agreement regarding transportation: 47% believe that seniors sometimes have difficulty arranging transportation and 29% find they often have difficulty. A difficulty milestone in a senior's life is often when he/she can no longer drive a car. 24% believe they rarely have difficulty.

Survey respondents agree that seniors rarely have enough information about senior programs (54%). In contrast, 37% of the senior respondents reported they sometimes have enough information. Only 9% reported having enough information.

Users' or Seniors Currently Using Services Survey

CSS supplied all of its service providers and senior centers with an original copy of the survey (in both English and Spanish) for ease in distribution to users of services. In addition, Grand Jury members distributed more than 700 copies of the surveys during their 15 site visits. Therefore, this survey represents the senior subpopulation, which actively uses senior services. In total, 1,770 users completed the survey.

Profile of Senior “Users”

The senior stakeholders or users tend to be:

- Seniors themselves (94%); others were caregivers to seniors or concerned citizens or residents
- Female (68%)
- Live alone (50%) or with others (e.g., a spouse, significant other, children, grandchildren, relatives, or friends) (46%). (The other 4% live in retirement communities or assisted living arrangements.)
- Between the ages of 60 and 75 years (56%) and age 76 or older (41%). (The other 2% were under the age of 60.)
- Active and independent (49%) or require some assistance to perform their daily living needs (45%). (The other 6% required significant assistance in eating, bathing, getting in/out of bed/chair, getting to the bathroom on time, managing medications, or dressing/undressing.)
- White/Caucasian (45%), followed by Hispanic/Latino (29%), Black/African-American (14%), Asian/Pacific Islander (9%), and other (3%).

Senior stakeholders' answers were split in terms of their income being adequate to cover all, most, or just some of their needs.

The detailed summary of the senior stakeholder survey is in Appendix B. In almost all instances, the senior stakeholders had similar concerns as the general senior population. The most notable findings are:

- Senior stakeholders more frequently use and rate highly the meal programs and senior centers but many are unaware of the other senior services and programs. Overall, 81% of the senior stakeholders rated the senior services and programs as “Effective” or “Very Effective,” with an overall rating of 3.2 (with “4” being “Very Effective”).
- One-half or more of the senior stakeholders are unaware of 8 of the 11 senior programs and services. This finding confirms the finding of the general senior population (mailed survey) where respondents also reported a lack of knowledge of senior services and programs available.
- Senior stakeholders take advantage of the group meals, home-delivered meals, and the senior centers and recreational programs most often. Between 52% and 82% of the seniors had never used 8 out of 11 of the senior programs and services. As one senior wrote: “There may be services out there but seniors either don’t know about them or use them.”
- Seniors were unaware of the Senior Employment Program but are interested in job opportunities. Senior stakeholders wrote in: Need for “job opportunities for

seniors" and "job training for seniors." "Keep employment a priority even if at part-time working schedules."

- The greatest concern for senior stakeholders in the next decade is healthcare (85%), followed by transportation (45%), safety and security (43%), in-home services (43%), nutrition (35%), and housing, including assisted living (34%). The CSS/AAA programs that are best known and most frequently used by the senior stakeholders are those ranked lower in terms of concerns. Specific senior stakeholder comments about their concerns are:
 - Housing: "Need more senior housing." "[need for] retirement places to live at reasonable rates." "Low cost rentals." "Cost of living on a fixed income." "Need Section 8 to help with rent." "Cost of assisted living facilities." "Financing rest home care." "Going to be evicted. Can't pay rent increase."
 - Health care: "High cost of medication." "Prescription drug coverage." "Long-term care/costs." "Long-term care. Many are lonely." "Seniors should be taught proper nutrition instead of using drugs." "Offer the '12 step program' for individuals with alcoholism."
 - Transportation: "If I become unable to drive, I would need above services." "More light rail transportation."

As some senior optimists wrote: "So far so good. Don't have [any] concerns yet." "I'm going to take one day at a time. Thank you." From the many comments, however, it is clear that even the housed, healthy, and mobile seniors are concerned about their long-term needs and care. Many wrote about the desire for a "family to look after them."

- The favorite social or recreational programs among the senior stakeholders are: field trips or travel (57%); exercise classes (54%); games (e.g., Bingo, board games, cards) (40%); social activities (e.g., dances teas) (32%); and plays, music, and other performances (24%). In the written survey, the senior stakeholders expanded extensively on these possibilities, citing: line dancing, square dancing, bird watching, yoga, bowling, Chinese calligraphy, sports (e.g., softball), gardening, bird watching, hobbies, library outings, tennis, films, boating, fishing, camping, dog or horse shows, swimming, golf, bicycling, and community college classes.
- Although most senior stakeholders have full and active lives (84%), many seniors struggle with periods of loneliness (65%), obtaining information about senior programs (70%), arranging transportation (69%). As one senior stakeholder wrote: "I live alone and I am concerned I could die and not be found for a week."

City Stakeholder Survey

257 customized surveys, focusing on specific information about cities' services for their senior residents, were mailed to the mayors and city managers of the 87 incorporated cities (all but the City of Los Angeles) in the County. The detailed summary of the city stakeholder survey is in Appendix C.

Overview of City Survey Participants

The mayors and city managers had the option of having their department heads in charge of senior programs complete the surveys. In total, 51 surveys were completed, representing 19.8% of the surveys mailed and at least one-third of the cities. In some cases, two or more individuals completed a survey jointly.

Profile of City Populations Served

The primary ethnicities of the constituents served by the survey participants are White/Caucasian and Hispanic/Latino, followed by Asian/Pacific Islander and Black/African American. The answers were split in terms of their senior constituents having adequate income to cover all, most, or just some of their needs. The cities responding are representative of the different size cities in the County, as shown in Exhibit 21:

EXHIBIT 21
COUNTY OF LOS ANGELES, INCORPORATED AREAS:
SURVEY PARTICIPATING CITIES, BY POPULATION SIZE (TOTAL = 51)

POPULATION	NUMBER OF CITIES RESPONDING	PERCENT OF TOTAL CITIES RESPONDING
Less than 25,000	14	28%
26,000-50,000	9	17%
51,000-75,000	9	17%
76,000-100,000	6	12%
More than 100,000	13	26%

The key survey findings from the city leaders' perspectives regarding senior issues are:

- Incorporated areas invest additional dollars in senior programs; such additional investments are not options in the unincorporated areas. In contrast, CSS/AAA operates three senior centers in unincorporated areas, which are staffed and funded through Title III-B and Title III-E. Approximately 1,514 seniors use these County senior centers.
- Meals and senior centers with their recreational programs are the most prevalent senior services.

- Overall, the senior services and programs were rated as effective (3.1 on a 4.0 scale). Other senior services rated highly were: senior centers and recreational programs (3.7), group meals or home-delivered meals (3.5), and care managers or social workers to assist in obtaining community services (3.1). No services were rated less than "somewhat effective."
- Cities rate the effectiveness of their own staff higher than others but all were rated as being effective, including working relationships with CSS/AAA. The only exception was in the area of CSS/AAA's role in monitoring, which was only rated "Somewhat Effective."
- City leaders are most concerned about housing, health care, and transportation for seniors in the next 10 years.
- City leaders expressed high levels of agreement on many policy issues relating to seniors.
 - 83% of the city leaders agree/somewhat agree that government is the most effective and efficient means for helping the elderly.
 - 60% agree/somewhat agree that the County system (via CSS/AAA) is the most effective and efficient means for helping the elderly.
 - 60% agree/somewhat agree that people should qualify for services based on their physical needs rather than when they reach a special age.
 - 67% disagree that government services should only address basic needs (housing, food, medical) versus recreational or social needs of seniors.
 - 67% disagree (and another 17% somewhat disagree) that the government should get out of the business of delivering services to seniors and offer tax credits to allow seniors to buy the services they need or want.
- Opinions were split on whether everyone should be entitled to services regardless of income: 44% disagree/somewhat disagree and 56% agree/somewhat agree."

Site Visits

Grand Jury members visited 15 sites where CSS/AAA programs were delivered. Many of these sites delivered congregate meals along with other senior services. On the table below are observations of the best practices, typical practices, and practices to be avoided.

Best Practices
<ul style="list-style-type: none"> ▪ Small, dedicated, and welcoming centers (versus impersonal, large, shared institutions) seem to be the preference of seniors – places where seniors feel comfortable to “drop by.” ▪ CSS/AAA, the service providers, and senior center staff recognize that socialization is the number one need of many seniors. ▪ When available, fitness programs that are geared to a wide range of physical health are beneficial and desired by many seniors.
Typical Practices
<ul style="list-style-type: none"> ▪ Most programs need volunteers and subsidies to function. ▪ Most programs are City supported. ▪ The community-based organizations (CBOs) do most of the delivery of services. ▪ There is no serious marketing or outreach because of the inability to cover the costs of seniors’ needs and demand for services. ▪ Most programming is passive. ▪ People show up long before the scheduled activity (reinforcing the desire for socialization, already cited).
Practices to Avoid
<ul style="list-style-type: none"> ▪ The congregate meal programs have little flexibility to make last-minute changes, address cultural preferences in foods, reduce food waste, offer menu choices, etc. ▪ The annual re-contracting is a cumbersome and time-consuming process. ▪ Monitoring programs is time-consuming and ineffective in measuring quality and meaningful outcomes. When the person who is monitoring changes so does the process and what they are looking for. ▪ Providers do not have strong financial incentives to increase programs to meet the demand.
MISCELLANEOUS OBSERVATIONS
<ul style="list-style-type: none"> ▪ Keeping various counts because the dollars come from a variety of sources with different rules is difficult for most agencies ▪ The County does not adequately monitor the quality of case management. ▪ There is a “chicken-and-egg” problem with determining the demand for senior’s services. The sense is that ‘if you build it (a dedicated seniors center), they will come.’ There is also the sense that seniors shy away from large, multipurpose centers because of safety concerns or discomfort in such settings. ▪ Volunteers (medical doctors, nurses, social workers, etc.) are fairly easy to come by for this sector.

In addition, CSS/AAA program managers do not fully appear to be versed in best practices in other parts of the nation, particularly municipalities and county agencies with similar policies, programs, and operations. Such lack of a national perspective makes it difficult to adapt “lessons learned” elsewhere to the County of Los Angeles and to plan for emerging needs.

2002-2003 Grand Jury Report on CSS AAA and APS Programs: Response to the Grand Jury Final Report

Source: <http://dcss.co.la.ca.us/publicinfo/infofiles/ResponsetoGrandJuryFinalRep>.

blue

blue is a perspective

RESPONSE TO THE GRAND JURY FINAL REPORT

COUNTY OF LOS ANGELES – COMMUNITY AND SENIOR SERVICES

SUBJECT: 2002-2003 GRAND JURY RECOMMENDATIONS FOR SENIOR CITIZENS SERVICES

PREFACE:

Community and Senior Services (CSS) houses the Los Angeles County Area Agency on Aging (AAA) and the State-mandated Adult Protective Services program (APS). The AAA serves residents of 87 of the 88 cities (excluding Los Angeles) and the unincorporated areas of the County who are age 60 years and older pursuant to the Older Americans Act and the Older Californians Act. Utilizing performance-based contracting, CSS/AAA contracts with approximately 40 community-based agencies and cities to provide a variety of services that improve the health of older adults and assist them in maintaining their independence. APS serves all county residents who are dependent adults, or over the age of 65, who are at risk of abuse in all of its forms.

The Los Angeles County Civil Grand Jury management audit of CSS programs and services for older adults focused primarily on Older Americans Act-funded services provided during fiscal year 2001-2002. The Grand Jury found dedicated community-based organizations (CBOs), staff, and a desire for continual improvements in meeting the needs of seniors. Many Grand Jury recommendations are consistent with CSS improvements already in progress and congruent with the Department's Strategic Plan. Highlights of our Strategic Plan include a redesigned web-based management information system to improve fiscal accountability and performance measurement, organizational changes pursuant to the departmental and Countywide strategic initiative Performance Counts!, and preparation for the rising demand in services due to the aging of the Baby Boom generation.

In order to maximize consumer independence and the dignity of the County's frail elderly and adults with disabilities through the delivery of supportive and other services, on January 21, 2003 the Los Angeles County Board of Supervisors adopted the County of Los Angeles Strategic Plan for Aged and Disabled Adults, 2003-2006 (the Plan). The Plan will stimulate coordination of long-term care services including health care, mental health, home- and community-based assistance, housing, transportation, and support for family and kinship caregivers to assist individuals to remain in their own homes, or the least restrictive option, for as long as possible and to avoid premature and unnecessary institutionalization. The Plan's implementation began immediately and accomplishment of its multiple objectives continues, as recommended in the Grand Jury report.

The following is the CSS response to each recommendation:

RECOMMENDATION NO.1: The Community and Senior Services Department should move from planning to implementation of its *Long-Term Care Strategic Plan*. An outside agency should monitor this transition and progress.

RESPONSE:

On January 21, 2003 the Board of Supervisors adopted the *County of Los Angeles Strategic Plan for Aged and Disabled Adults, 2003-2006* (the Plan). Implementation of the Plan began on January 22, 2003. The Plan includes multiple objectives to be accomplished over a three-year period. Community and Senior Services (CSS), in conjunction with other Human Services Departments, created the Long-Term Care Coordinating Council (LTCCC) to achieve the Plan's objectives. The operational structure of the LTCCC was established and seven committees will serve as work groups to study and implement the seven major goals of the Plan. The LTCCC and the work groups will meet monthly. A chair and a co-chair have been elected to provide the leadership of the LTCCC. The LTCCC and CSS have appointed the Los Angeles County Commission on Aging, with input from the Commission on Disabilities, to act as the outside entity to monitor progress toward Plan achievement.

RECOMMENDATION NO.2: The County should ensure its strategies address the full extent of County seniors' needs.

RESPONSE:

The Long-Term Care Strategic Plan addresses the six priority needs identified in the strategic planning process: health care, mental health, housing, transportation, home- and community-based services, and the needs of caregivers. The LTCCC will obtain necessary needs assessment data from United Way, Census 2000, and other sources to incorporate strategies to meet, to the extent possible, identified needs. The target populations of the Older Americans Act programs are frail older adults and adults with disabilities, and the emphasis is on low-income minority individuals, persons at greatest economic and social risk, and persons with Alzheimer's disease and their caregivers.

RECOMMENDATION NO.3: Community and Senior Services/Area Agency on Aging must take the lead to ensure effective coordination of services to deliver senior services via CSS strategic collaborative departmental approach.

RESPONSE:

The Plan designates CSS as the County department to oversee the coordination of the LTCCC's planning for older adults and adults with disabilities by working with existing county departments and community stakeholders. In addition, on July 15, 2003 the Board of Supervisors urged the continued collaboration among County departments in addressing the expected needs of the County's older adult and disabled population in

the years ahead. The key departments of Public Social Services, Health Services, Mental Health, Children and Family Services, and the Office of Affirmative Action Compliance are represented by high-level managers on the LTCCC and have committed to vigorous participation in the implementation of the Plan.

RECOMMENDATION NO.4: Given its recently adopted *Long-Term Care Strategic Plan*, CSS/AAA is in a period of transition and CSS should develop a funding strategy.

RESPONSE:

Additional program funding is needed to meet the needs of older and disabled adults in the areas of health, mental health, housing, transportation, in-home services, and support for caregivers. In response to this challenge, on July 15, 2003, your Board instructed appropriate County departments to identify and maximize blended funding opportunities that support community-based, long-term care. A report is due to the Board within 120 days.

CSS has undertaken an aggressive plan to shift the focus of the Aging and Adult Services branch, and specifically the Area Agency on Aging, from a fiscal conduit of federal and State monies to become more directly involved with senior issues and service delivery, emphasizing the Department's strategic goal of a client-centered approach to the delivery of services.

RECOMMENDATION NO.5: CSS should restructure itself to support the SPA framework.

RESPONSE:

CSS agrees with the recommendation and, as of February 2003, has restructured itself to support the SPA framework as evidenced in the AAA's procurement process. Countywide funding for senior programs is allocated according to demographic data by SPA. Criteria used to make funding recommendations for contract awards for fiscal year 2003-04 included the equitable distribution of funds by SPA. CSS will continue to allocate funds and plan services for seniors according to SPA. Additionally, the Area Agency on Aging's management information system will begin tracking services and clients served by SPA beginning July 2004.

RECOMMENDATION NO.6: The Board of Supervisors should lobby for an overhaul of the funding categories developed at the State and federal levels.

RESPONSE:

CSS has successfully negotiated with the State for flexibility in categorical funding since the implementation of the Integrated Care Management Demonstration Project in 1998. CSS concurs with this recommendation and, in conjunction with the CAO, will support the Board of Supervisors' lobbying efforts for more flexibility at the local level. This will improve the cost-efficiency of programs and the delivery of services that ultimately improve the coordination of services in the community.

RECOMMENDATION NO.7: CSS/AAA should continue to build on the Integrated Care Management experience to implement innovations in other program areas.

RESPONSE:

CSS agrees with this recommendation and has implemented the Home-Based Care Program, which is another innovative program that integrates multiple sources of categorical funding. Effective July 1, 2003 the Home-Based Care Program integrates three sources of federal and State funds for five distinct programs into one service delivery model that allows flexibility for the contract service provider to deliver more appropriate services that better meet the needs of clients. CSS will continue to explore additional opportunities to integrate programs and funding to improve service delivery to seniors in the community. This recommendation also relates to the lobbying efforts that need to be taken in response to Recommendation No. 6.

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RESPONSE:

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The purpose of these requirements is to protect the health and safety of consumers and to protect the County from liability. For this reason, meals may not be taken home.

However, in spite of the health and safety regulations, CSS has several mechanisms built into the meal service program operation that provide an opportunity for consumers (seniors age 60 and over) who participate in our program at 108 nutrition meal sites, to have input on the menu and meal service. They are as follows:

- a. Each Congregate meal program has a project advisory council (many with food committees) comprised of consumers. A major part of their role and responsibility is to provide input on the Congregate meal program, which includes menu selection and approval and, at times, recommendations on the selection of the caterer.
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RECOMMENDATION NO.17: CSS should continue to strengthen the linkages between APS and AAA.

RESPONSE:

We agree that the two programs should work as closely together as structurally possible. CSS has taken steps to facilitate this that were not acknowledged in the Grand Jury Report. Each APS office, for example, has designated specialized Social Workers/liaisons to handle the APS cases on which referrals have been made to the Integrated Care Management agencies within the ICM program. In addition, each APS office has identified all of the AAA senior and service centers located within the areas served by each APS office for purposes of service coordination and collaboration. There have also been several instances of cross-training between the two programs

that were not acknowledged. In summary, CSS will continue to look for ways to strengthen the linkages between the programs, while at the same time maintaining that there are no genuine deficiencies in this area.

RECOMMENDATION NO.18: CSS/APS should evaluate the cost-effectiveness of County inter-agency programs with an aim to improving their efficiency.

RESPONSE:

CSS agrees with this recommendation. We will continue to engage our strategic partners to continue to evaluate the efficiencies and cost-effectiveness of our programs as we proceed to strengthen inter-agency alliances.

RECOMMENDATION NO.19: The Fiduciary Abuse Specialist Team (FAST) makes good use of volunteers, including attorneys, but more formal documentation of target service levels and expected outcomes should be defined.

RESPONSE:

CSS agrees in part with this recommendation—to the extent that it would be advantageous to improve the tracking of clients served by FAST to more completely document the achievements and successes of the team. To some extent, this is already done, since a part of each meeting is devoted to reviewing the results of the implementation of the recommendations made by the FAST members in previous meetings to the case-carrying workers. An additional component whereby those results would be centrally stored for purposes of documentation would be beneficial. CSS will work with WISE Senior Services to more closely track the successes of FAST, in line with the County's goal of measuring success of each of our programs.

RECOMMENDATION NO.20: CSS should more closely monitor the outcomes of the Ombudsman and Elder Abuse Programs.

RESPONSE:

CSS agrees with this recommendation. CSS/AAA will more closely monitor the outcomes of the Ombudsman and Elder Abuse programs to ensure compliance with the State-mandated performance measures. In conjunction with the State, CSS will develop local criteria to monitor the Programs.

RECOMMENDATION NO.21: CSS/AAA should clearly link Supportive Services' budgeted dollars with service levels.

RESPONSE:

Tracking utilization of services, rigid national reporting categories, and linking budgeted funds to service levels have hampered the efforts of CSS/AAA to providing contracting providers with sufficient flexibility to match spending with clients' needs. Implementation of the redesigned AAA Management Information System (scheduled to begin July, 2004) and implementation of the AAA's new model for delivery of in-home services, Home-Based Care Program, will dramatically improve our potential in this area. The Home-Based Care Program uses the multi-source funding strategy of the Integrated Care Management Program and provides flexibility in tailoring services for the needs of individual clients. Demand for such services (personal care, homemaking, day care and companionship) far exceeds the available resources, however, and CSS/AAA continually strives to identify additional resources to augment funding.

RECOMMENDATION NO.22: CSS should assess potential need and locations for ADCRCs.

RESPONSE:

CSS has completed a review of the need and location of Alzheimer's Day Care Resource Centers in conjunction with the recent RFP procurement process for all AAA services for the four-year funding cycle fiscal years 2004-07. AAA has increased the number of ADCRCs from seven to eight and on June 10, 2003 your Board approved funding recommendations for seven of the eight centers. A center shall be located in each of the eight SPAs. CSS/AAA will identify the eighth center prior to October 1, 2003 and will return to the Board for approval to contract with a center in Antelope Valley SPA1.

RECOMMENDATION NO.23: CSS/AAA should design an evaluation tool to assess outcomes of the Family Caregiver Program over time, ensuring reliable data and better tracking.

RESPONSE:

CSS agrees with this recommendation. The National Family Caregiver Support Program was enacted in 2000 as part of the Re-Authorization of the Older Americans Act. As part of implementing the program, CSS/AAA designed and field-tested a caregiver assessment tool to determine baseline outcomes measures for caregiver support services. These outcomes measures will be incorporated into the County's Performance Counts! pilot and the data will be collected using the AAA's new MIS beginning in July 2004.

RECOMMENDATION NO.24: The HICAP requires better information to track service levels, number of clients, and per-unit costs to set proper goals and budgets.

RESPONSE:

The HICAP program will be included in the effort to improve data collection and tracking costs per client through the implementation of the AAA's automation project that will start collecting client-based data July 1, 2004. This will enable the AAA to collect the necessary data on clients served by HICAP and accurately report the cost per client for all services provided under HICAP.

CONCLUSION:

CSS embraces the challenges presented by the recommendations of the Grand Jury. Several recommendations provide additional momentum and support to the CSS initiative to create a truly integrated system of community-based, long-term care services for the disabled and aging populations. Other recommendations validate internal efforts for continuous quality improvement.



ROBERT RYANS
Director

**COMMUNITY AND SENIOR SERVICES
OF LOS ANGELES COUNTY**

"To Enrich Lives Through Effective And Caring Service"

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BOARD OF SUPERVISORS

GLORIA MOLINA
YVONNE BRATHWAITE BURKE
ZEV YAROSLAVSKY
DON KNABE
MICHAEL D. ANTONOVICH

August 7, 2003

Chris Foley
Chief Administrative Office
500 W. Temple, Room 723
Los Angeles, CA 90012

Dear Mr. Foley:

Subject: RESPONSE TO THE FINAL REPORT OF THE 2002-2003 LOS
ANGELES COUNTY GRAND JURY

The Department of Community and Senior Services, by way of the attached letter, is submitting to the Board of Supervisors its responses to the recommendations of the Grand Jury pursuant to Section 93(c) of the California Government Code.

Please contact Cynthia D. Banks, Chief Deputy, at (213) 637-0798 if you have any questions.

Sincerely,


Robert Ryans, Director
Dept. of Community and Senior Services

Attachment: 1

c: Violet Varona-Lukens, Executive Officer
Cynthia D. Banks, Chief Deputy, Dept. of Community & Senior Svcs.



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Supervisor Yvonne Brathwaite-Burke, Chair
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Grand Jury**

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Violet Varona-Lukens, Executive Officer
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RESPONSE TO THE GRAND JURY FINAL REPORT

COUNTY OF LOS ANGELES – COMMUNITY AND SENIOR SERVICES

SUBJECT: 2002-2003 GRAND JURY RECOMMENDATIONS FOR SENIOR CITIZENS SERVICES

PREFACE:

Community and Senior Services (CSS) houses the Los Angeles County Area Agency on Aging (AAA) and the State-mandated Adult Protective Services program (APS). The AAA serves residents of 87 of the 88 cities (excluding Los Angeles) and the unincorporated areas of the County who are age 60 years and older pursuant to the Older Americans Act and the Older Californians Act. Utilizing performance-based contracting, CSS/AAA contracts with approximately 40 community-based agencies and cities to provide a variety of services that improve the health of older adults and assist them in maintaining their independence. APS serves all county residents who are dependent adults, or over the age of 65, who are at risk of abuse in all of its forms.

The Los Angeles County Civil Grand Jury management audit of CSS programs and services for older adults focused primarily on Older Americans Act-funded services provided during fiscal year 2001-2002. The Grand Jury found dedicated community-based organizations (CBOs), staff, and a desire for continual improvements in meeting the needs of seniors. Many Grand Jury recommendations are consistent with CSS improvements already in progress and congruent with the Department's Strategic Plan. Highlights of our Strategic Plan include a redesigned web-based management information system to improve fiscal accountability and performance measurement, organizational changes pursuant to the departmental and Countywide strategic initiative Performance Counts!, and preparation for the rising demand in services due to the aging of the Baby Boom generation.

In order to maximize consumer independence and the dignity of the County's frail elderly and adults with disabilities through the delivery of supportive and other services, on January 21, 2003 the Los Angeles County Board of Supervisors adopted the County of Los Angeles Strategic Plan for Aged and Disabled Adults, 2003-2006 (the Plan). The Plan will stimulate coordination of long-term care services including health care, mental health, home- and community-based assistance, housing, transportation, and support for family and kinship caregivers to assist individuals to remain in their own homes, or the least restrictive option, for as long as possible and to avoid premature and unnecessary institutionalization. The Plan's implementation began immediately and accomplishment of its multiple objectives continues, as recommended in the Grand Jury report.

The following is the CSS response to each recommendation:

RECOMMENDATION NO.1: The Community and Senior Services Department should move from planning to implementation of its *Long-Term Care Strategic Plan*. An outside agency should monitor this transition and progress.

RESPONSE:

On January 21, 2003 the Board of Supervisors adopted the *County of Los Angeles Strategic Plan for Aged and Disabled Adults, 2003-2006* (the Plan). Implementation of the Plan began on January 22, 2003. The Plan includes multiple objectives to be accomplished over a three-year period. Community and Senior Services (CSS), in conjunction with other Human Services Departments, created the Long-Term Care Coordinating Council (LTCCC) to achieve the Plan's objectives. The operational structure of the LTCCC was established and seven committees will serve as work groups to study and implement the seven major goals of the Plan. The LTCCC and the work groups will meet monthly. A chair and a co-chair have been elected to provide the leadership of the LTCCC. The LTCCC and CSS have appointed the Los Angeles County Commission on Aging, with input from the Commission on Disabilities, to act as the outside entity to monitor progress toward Plan achievement.

RECOMMENDATION NO.2: The County should ensure its strategies address the full extent of County seniors' needs.

RESPONSE:

The Long-Term Care Strategic Plan addresses the six priority needs identified in the strategic planning process: health care, mental health, housing, transportation, home- and community-based services, and the needs of caregivers. The LTCCC will obtain necessary needs assessment data from United Way, Census 2000, and other sources to incorporate strategies to meet, to the extent possible, identified needs. The target populations of the Older Americans Act programs are frail older adults and adults with disabilities, and the emphasis is on low-income minority individuals, persons at greatest economic and social risk, and persons with Alzheimer's disease and their caregivers.

RECOMMENDATION NO.3: Community and Senior Services/Area Agency on Aging must take the lead to ensure effective coordination of services to deliver senior services via CSS strategic collaborative departmental approach.

RESPONSE:

The Plan designates CSS as the County department to oversee the coordination of the LTCCC's planning for older adults and adults with disabilities by working with existing county departments and community stakeholders. In addition, on July 15, 2003 the Board of Supervisors urged the continued collaboration among County departments in addressing the expected needs of the County's older adult and disabled population in

the years ahead. The key departments of Public Social Services, Health Services, Mental Health, Children and Family Services, and the Office of Affirmative Action Compliance are represented by high-level managers on the LTCCC and have committed to vigorous participation in the implementation of the Plan.

RECOMMENDATION NO.4: Given its recently adopted *Long-Term Care Strategic Plan*, CSS/AAA is in a period of transition and CSS should develop a funding strategy.

RESPONSE:

Additional program funding is needed to meet the needs of older and disabled adults in the areas of health, mental health, housing, transportation, in-home services, and support for caregivers. In response to this challenge, on July 15, 2003, your Board instructed appropriate County departments to identify and maximize blended funding opportunities that support community-based, long-term care. A report is due to the Board within 120 days.

CSS has undertaken an aggressive plan to shift the focus of the Aging and Adult Services branch, and specifically the Area Agency on Aging, from a fiscal conduit of federal and State monies to become more directly involved with senior issues and service delivery, emphasizing the Department's strategic goal of a client-centered approach to the delivery of services.

RECOMMENDATION NO.5: CSS should restructure itself to support the SPA framework.

RESPONSE:

CSS agrees with the recommendation and, as of February 2003, has restructured itself to support the SPA framework as evidenced in the AAA's procurement process. Countywide funding for senior programs is allocated according to demographic data by SPA. Criteria used to make funding recommendations for contract awards for fiscal year 2003-04 included the equitable distribution of funds by SPA. CSS will continue to allocate funds and plan services for seniors according to SPA. Additionally, the Area Agency on Aging's management information system will begin tracking services and clients served by SPA beginning July 2004.

RECOMMENDATION NO.6: The Board of Supervisors should lobby for an overhaul of the funding categories developed at the State and federal levels.

RESPONSE:

CSS has successfully negotiated with the State for flexibility in categorical funding since the implementation of the Integrated Care Management Demonstration Project in 1998. CSS concurs with this recommendation and, in conjunction with the CAO, will support the Board of Supervisors' lobbying efforts for more flexibility at the local level. This will improve the cost-efficiency of programs and the delivery of services that ultimately improve the coordination of services in the community.

RECOMMENDATION NO.7: CSS/AAA should continue to build on the Integrated Care Management experience to implement innovations in other program areas.

RESPONSE:

CSS agrees with this recommendation and has implemented the Home-Based Care Program, which is another innovative program that integrates multiple sources of categorical funding. Effective July 1, 2003 the Home-Based Care Program integrates three sources of federal and State funds for five distinct programs into one service delivery model that allows flexibility for the contract service provider to deliver more appropriate services that better meet the needs of clients. CSS will continue to explore additional opportunities to integrate programs and funding to improve service delivery to seniors in the community. This recommendation also relates to the lobbying efforts that need to be taken in response to Recommendation No. 6.

RECOMMENDATION NO.8: Formal communication channels should be developed and implemented for CSS internal mid-management.

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RECOMMENDATION NO.18: CSS/APS should evaluate the cost-effectiveness of County inter-agency programs with an aim to improving their efficiency.

RESPONSE:

CSS agrees with this recommendation. We will continue to engage our strategic partners to continue to evaluate the efficiencies and cost-effectiveness of our programs as we proceed to strengthen inter-agency alliances.

RECOMMENDATION NO.19: The Fiduciary Abuse Specialist Team (FAST) makes good use of volunteers, including attorneys, but more formal documentation of target service levels and expected outcomes should be defined.

RESPONSE:

CSS agrees in part with this recommendation—to the extent that it would be advantageous to improve the tracking of clients served by FAST to more completely document the achievements and successes of the team. To some extent, this is already done, since a part of each meeting is devoted to reviewing the results of the implementation of the recommendations made by the FAST members in previous meetings to the case-carrying workers. An additional component whereby those results would be centrally stored for purposes of documentation would be beneficial. CSS will work with WISE Senior Services to more closely track the successes of FAST, in line with the County's goal of measuring success of each of our programs.

RECOMMENDATION NO.20: CSS should more closely monitor the outcomes of the Ombudsman and Elder Abuse Programs.

RESPONSE:

CSS agrees with this recommendation. CSS/AAA will more closely monitor the outcomes of the Ombudsman and Elder Abuse programs to ensure compliance with the State-mandated performance measures. In conjunction with the State, CSS will develop local criteria to monitor the Programs.

RECOMMENDATION NO.21: CSS/AAA should clearly link Supportive Services' budgeted dollars with service levels.

RESPONSE:

Tracking utilization of services, rigid national reporting categories, and linking budgeted funds to service levels have hampered the efforts of CSS/AAA to providing contracting providers with sufficient flexibility to match spending with clients' needs. Implementation of the redesigned AAA Management Information System (scheduled to begin July, 2004) and implementation of the AAA's new model for delivery of in-home services, Home-Based Care Program, will dramatically improve our potential in this area. The Home-Based Care Program uses the multi-source funding strategy of the Integrated Care Management Program and provides flexibility in tailoring services for the needs of individual clients. Demand for such services (personal care, homemaking, day care and companionship) far exceeds the available resources, however, and CSS/AAA continually strives to identify additional resources to augment funding.

RECOMMENDATION NO.22: CSS should assess potential need and locations for ADCRCs.

RESPONSE:

CSS has completed a review of the need and location of Alzheimer's Day Care Resource Centers in conjunction with the recent RFP procurement process for all AAA services for the four-year funding cycle fiscal years 2004-07. AAA has increased the number of ADCRCs from seven to eight and on June 10, 2003 your Board approved funding recommendations for seven of the eight centers. A center shall be located in each of the eight SPAs. CSS/AAA will identify the eighth center prior to October 1, 2003 and will return to the Board for approval to contract with a center in Antelope Valley SPA1.

RECOMMENDATION NO.23: CSS/AAA should design an evaluation tool to assess outcomes of the Family Caregiver Program over time, ensuring reliable data and better tracking.

RESPONSE:

CSS agrees with this recommendation. The National Family Caregiver Support Program was enacted in 2000 as part of the Re-Authorization of the Older Americans Act. As part of implementing the program, CSS/AAA designed and field-tested a caregiver assessment tool to determine baseline outcomes measures for caregiver support services. These outcomes measures will be incorporated into the County's Performance Counts! pilot and the data will be collected using the AAA's new MIS beginning in July 2004.

RECOMMENDATION NO.24: The HICAP requires better information to track service levels, number of clients, and per-unit costs to set proper goals and budgets.

RESPONSE:

The HICAP program will be included in the effort to improve data collection and tracking costs per client through the implementation of the AAA's automation project that will start collecting client-based data July 1, 2004. This will enable the AAA to collect the necessary data on clients served by HICAP and accurately report the cost per client for all services provided under HICAP.

CONCLUSION:

CSS embraces the challenges presented by the recommendations of the Grand Jury. Several recommendations provide additional momentum and support to the CSS initiative to create a truly integrated system of community-based, long-term care services for the disabled and aging populations. Other recommendations validate internal efforts for continuous quality improvement.

Appendix G: Training

The following table combines training data available from three sources:

- APS Branch Training, January 2003-March 2004 and Other CSS Training, July 2003-April 2004. (Source: Electronic file, "training records.xls" provided electronically by CSS, May 12, 2004)
- APS Branch Training, June 1997-July 2003. (Source: Printout "APS Training", 57 page spreadsheet document, printed March 4, 2003)
- Other CSS Training, July 2003-April 2004. (Source: Electronic file, "training records.xls" provided electronically by CSS, May 12, 2004)
- Other CSS Training, September 1987-April 2004. (Source: CSS Training Course Attendees, Report Date: May 3, 2004)

Note: The training programs presented in the following exhibit, as well as the numbers of individuals who completed them is based on available data and may be understated or inaccurate

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
11th Annual Hospice Conference	3			3
16th Annual Adult Protective Services	3			3
18th Annual APS Conference	5			5
2000 Women's Conference	2			2
21st Annual Adult Services Conference	10			10
23rd Annual Adult Services Conference	12			12
2nd Annual Conducting Elder Abuse Investigations Conference	3			3
2nd Annual Conference on Co-Occurring Disorders	2			2
3rd Annual Multicultural Conference	7			7
4th Annual Multicultural Conference	1			1
5th Annual Latino Conference: Best Clinical Models/Interventions...	7			7
5th Annual Multicultural Conference	4	1	1	6
6th Annual Latino Conference	3			3
83k45-Health & Physiological Issues Among the Aged	1			1
8th National-1st Inter'l conference on Abuse of Children/Adults w/ Disabilities	6			6
9th National-2nd Inter'l Conference on Abuse of Children/Adults w/ Disabilities	1			1
Abuse in People with Cognitive Impairment	13			13
Addiction & Mental Health Essentials of Drug Treatment/Prevention	1			1
Administration Analyst Assistant Certification			1	1
Adult Protective Services Conference - San Antonio	1			1
Adult Services Annual Conference-Asilomar 2001	15			15
Aging and Disabilities Seminar	1			1
Aging on the Edge: Out of the Mainstream	3			3
Alcohol & Other Drugs Training	24			24
Alliance of Aging Networks Meeting	2			2
Anatomy of an APS Client	6			6
Applied Suicide Intervention Skills	1			1
APS Case Investigation & Prosecution	12			12

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
APS Task Force Education & Curriculum Subcommittee	1			1
Are There Flaws in the Laws regarding Conservatorship Issues?	2			2
Assertiveness Skills for Managers and Supervisors	5			5
Assisting Difficult People	10			10
Auditor-Controller Fraud Awareness		5	92	97
Balancing Priorities & Time Management	123			123
Basic Cultural Competency	1			1
Basic Principals of Contracting		2		2
Best & Cutting Edge Practices	2			2
Blending Research into Clinical Practice with Latinos	7			7
Bridging Services for Persons w/ Developmental Disabilities	1			1
Business Grammar for Busy Professionals	1			1
Business Writing & Grammar Skills	21			21
Business Writing Basics	8			8
Business Writing for Results	1			1
Business Writing Seminar	1			1
CAO Service Integration		1		1
CDSS/CSLA	26			26
Chemical Dependency: Assessment & Treatment	1			1
Child Abuse: Assessment, Reporting & Treatment	1			1
Clinical Assessment of Older Adults	3			3
Clinical Assessment Update	1			1
Coaching & Team-Building Skills for Supervisors & Managers	2			2
Combating Elder Abuse: How to Build a Criminal Case	12			12
Community-Based Long Term Care: The Role of the Primary Care ...	1			1
Conducting Effective Investigations		1		1
Conducting Internal Investigations/CEM		1		1
Conflict Management & Confrontational Skills	2			2
Conflict Resolution Training	13			13
Confronting Our Beliefs	12			12
Conquering Workplace Negativity	3			3
Conservatorships	43			43
Consortium for Geriatric Care Professionals	4			4
Consumer Service Enhancement	169			169
Contract Management/Analyst			1	1
Conversations: Can We Talk About Death & Dying	2			2
Counting on Kindness	3			3
Countywide Integrated Radio System (CWIRS)-DART	6			6
Countywide New Employee Orientation			5	5
Creating Compassionate Care	44			44
Critical Incident Stress Debriefing	1			1
Criticism & Discipline Skills for Managers	2			2
Customer Service		24	381	405
CWDA APS Task Force	15			15
CWDA APS Task Force/APS Technical Advisory Group	3			3
Dealing Effectively with Unacceptable Employee Behavior	20			20
Dealing with Difficult People		1		1
Death & Dying	18			18

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
Deception & Denial: Behaviors of Sex Offenders	4			4
Dementia & Driving	1			1
Dementia Care Management: A Program for Case Managers	12			12
Dementia in Ethnic Communities	4			4
Dept Mental Health African American Conference			7	7
Detecting, Investigating & Prosecuting Elder Crimes	2			2
Developing Behavioral Health Care Models for Latinos	6			6
Developing Management Skills for Secretaries, Admin. Ass. & Support Staff	2			2
Discrimination and Prevention		11		11
Discrimination Prevention Training			44	44
Diversity	10	18	141	169
DMH Annual African American Conference		2		2
Domestic Violence Advocate training	2			2
EEO Investigator Training/US EEOC		1		1
Effective Care for Latinos in the New Millennium	8			8
Elder Abuse 2000	2			2
Elder Abuse and Emergency Care of the Elderly	2			2
Elder Abuse Intervention & Education Conference	5			5
Elder Abuse Medical & Forensic Issues	5			5
Elder Abuse-Making a Difference	11			11
Elements of Effective Discipline	7	3	16	26
Employee Relations & Discipline Certificate			1	1
Employee Relations, Legal Issues & Discipline Process		2		2
Ethical & Professional Issues in Adult Services	4			4
Ethics Training			161	161
Ethnic Elder Abuse Workshop	12			12
Ethnicity & Cultural Issues	9			9
Evelyn Wood: Reading Dynamics for Business Professionals	2			2
Everything You Ever Wanted to Know about 5150 Holds	1			1
Evidence-Based Practice for Enhancing Latino Behavioral Health	7			7
Excelling as a First-Time Manager or Supervisor	4			4
Excelling as a First-Time Supervisor	4			4
Expanding Perspectives: Creating Solutions for Couple & Families	1			1
Facility Orientation			1	1
Falls Prevention & Management in Older Interventions	2			2
Family Medical Leave Act		10	66	76
Fiduciary Abuse of the Elderly	6			6
Financial Abuse-Law Enforcement Training	2			2
Fire/Life Safety			2	2
First Aid & CPR-DART	12			12
Fiscal Operations Certificate			1	1
Following Through: APS Case Investigation, Intervention & Prosecution	2			2
From the Family to the Firm: Living, Working ...	1			1
Fundamentals of Conservatorship	16			16
Grief Recovery Outreach Program	2			2
HEIC			1	1

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
Helping People with Change: Dealing with Client Hostility & Resistance	2			2
High Impact Communication Skills for Women	1			1
HIPAA Awareness			1	1
HIV & AIDS: Assessment and Treatment	4			4
HIV/AIDS Workshop	11			11
HMO/Medicare/Medi-Cal	89			89
Hope and Intervention for Violent Families	3			3
Hospice: Preserving Our Roots, Growing Our Future	1			1
How to Balance Priorities & Manage Multiple Projects	1			1
How to Become a Great Communicator	6			6
How to Better Manage Multiple Locations	2			2
How to Deal with Difficult People	1			1
How to Design a Training Program		1		1
How to Discipline Employees and Develop Performers	1			1
How to Excel as a Professional Assistant	2			2
How to Handle People With Tact & Skill	5			5
How to Investigate a Financial Abuse Case	92			92
How to Manage Multiple Projects & Meet Deadlines	1			1
How to Organize and Maintain Files	1			1
How to Supervise People	20			20
HSIP			2	2
ICAN Nexus IV	27			27
ICAN Nexus VI	8			8
ICAN Nexus VII	4			4
Incontinence in Older Persons	2			2
Inter-Govt Personnel Training (WRIPAC)		2		2
Leadership Essentials for County Managers		1		1
Let's Talk	1			1
Linkage Advanced Case Management	9			9
Linkage to the 21st Century	9			9
Live Scan D115PAG636			1	1
Live Scan D255SAR253			1	1
Living Wage Ordinance Compliance Monitor		1	1	2
Lotus			1	1
LP			1	1
Maintaining Appropriate Professional Boundaries	1			1
Management Skills for the New or Prospective Manager	3			3
Managers and Supervisors Conference	1			1
MAPP Orientation for New MAPP Participants			1	1
Margin to Mainstream III: Latino Health Care 2000	6			6
Medication Misuse/Abuse & Alcoholism in Older Adults	18			18
Mental Health Issues among Older Adults-FAST	27			27
Mental Health Summit	1			1
Mid-Valley Aging Network Meeting	6			6
MILES Conference Compassion Fatigue...	4			4
Mistake-Free Grammar & Proofreading	9			9
Motivational Interviewing	1			1

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
Multicultural Conference 2000	6			6
Multi-Disciplinary Teams	7			7
NAAPSA 12th Annual Conference	2			2
NEO			1	1
New Approaches for Parkinson's Disease	1			1
New Domestic Violence Statutes Update	1			1
New Employee Orientation			4	4
New Forms	110			110
New Research and Treatments for Dementia over the Continuum of Care	11			11
New Social Worker Training - Day 5	1			1
Non Violent Crisis Intervention	1			1
Orientation Basic Principles of Contracting			42	42
Performance Evaluation	13	4	17	34
Personality Disorders	1			1
Preparation of Hiring & Promotional requests & Justifications	6			6
PSIP-Participant			1	1
Real Estate Fraud	44			44
Recruitment & Selection HR Technical		1		1
SB 2199 Seminar	19			19
SCERT Tips and Tools for Effective Internal Investigations		1		1
Selection Coaching/Interviewing			32	32
Selection Interview and Coaching	27	2		29
Self Discipline & Emotional Self Control	3			3
Sensitivity Training	52			52
Sensitivity Training for Individuals Who Work With People With Disabilities	63			63
Service Excellence			4	4
Setting Limits, Documentation & Reporting	15			15
Sexual Harassment Training	33			33
Share the Care: Religion and Aging Focus on Decision Making	2			2
Should This Elderly Patient Be Transferred?	1			1
Social Work in the New Millennium	38			38
Social Workers Conference: Answering the Call in a Time of Need	37			37
Social Workers Conference: The Pursuit of Excellence	43			43
Southern California Admin Assistants Conference	1			1
Speak with Confidence and Authority	1			1
Strengthening Ethical Decision-Making Skills		15		15
Stress Management for Women	6			6
Substance Abuse & Dependency	3			3
Suicide Intervention Workshop	2			2
Supervision & Management		2	2	4
Supervision & Performance Management Workshop	19			19
Supporting the Journey into Aging II: Conference on Aging & Development	9			9
T3			1	1
Tangible Resources Training	17			17
The Art of Dying: Dancing with the Elephant	1			1

Exhibit #28: CSS Training Records (Available Data)

Training Program	Number of Attendees			
	APS	Admin Svcs	Other CSS	Total
The Art of Verbal Control	8			8
The Blues: Not a Normal Part of Aging	3			3
The Exceptional Assistant	11			11
The Sexually Violent Offender	7			7
Threat Management Zero Tolerance Policy			1	1
Time Management	2		55	57
Towards an Inclusive Multicultural Agenda	1			1
Train the Trainer		1		1
Training Academy: Budget/Fiscal		1		1
Training Academy: Section Head		1		1
Treating & Sharing the Personality Disordered Senior Patient	7			7
U3			1	1
Understanding & Combating Elder Abuse in Minority Populations	5			5
Understanding Anxiety	3			3
Undue Influence	39			39
Update On Depression & Anxiety Disorder	4			4
Using Microsoft Office	1			1
V9			1	1
Visions of Future	42			42
Western Reg. Intergovt (WRIPAC)			1	1
Workers Comp and Return to Work		1		1
Workers' Comp and Return to Work			3	3
Working Disabled Training	2			2
Working Well with People			48	48
Working with Difficult & Resistant Client in APS	10			10
Working with Elderly and Battered Women	2			2